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ABSTRACT

Chapter 1 of the Education Consolidation and Improvement Act provides basic grants to local school districts to provide supplemental services for disadvantaged students. Additionally, Chapter 1 authorizes smaller programs which provide services for students from migrant families, students in state facilities for the handicapped, and students in state-operated or supported institutions for the neglected or delinquent (N or D). This report, funded by the United States Department of Education and intended for federal policymakers, presents an analysis of state Chapter 1 programs for N or D students. The following topics are discussed in separate sections of the report: (1) federal and state administrative operations including responsibilities of state educational agencies; (2) facility operations including specifics of three state programs as well as a general overview; and (3) transitional programs including alternative high schools and group homes. A final section discusses findings and conclusions in the areas of quality of program information, compliance, program identity, and transitional programs. The report concludes that although the N and D program needs fine tuning, the program is generally well-executed and students enrolled in Chapter 1 classes show improvement. Appendixes list discussion topics for state directors about N or D services, and questions to be discussed during on-site visits to N or D facilities. (ABL)

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AN ANALYSIS OF ECIA CHAPTER 1 STATE PROGRAMS FOR NEGLECTED OR DELINQUENT CHILDREN

Ellen L. Marks

with the assistance of
Joanne Bogart

June 1986

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AN ANALYSIS OF ECIA CHAPTER 1

STATE PROGRAMS FOR NEGLECTED OR DELINQUENT CHILDREN

Ellen L. Marks

with the assistance of
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June 1986

Data Analysis Support Center
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Prepared for

U.S. Department of Education
Planning and Evaluation Service
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PREFACE

This report describes the grants program that funds services to youths in state-run facilities for the neglected or delinquent under Chapter 1 of the Education Consolidation and Improvement Act. The primary data come from site visits to three states and three facilities within each state.

The research was supported by the U.S. Department of Education (ED) under contract number 300-85-0103. It was performed for the State and Local Grants Division, Office of Planning, Budget, and Evaluation by Policy Studies Associates' Data Analysis Support Center (DASC). The DASC provides support services in the form of background information for the work of ED staff as they assess (1) the effects of federal actions on state and local operations, (2) methods for improving intergovernmental relations, and (3) the effectiveness of federal programs in serving national priority groups.

The report is intended for federal policymakers. The research also provides project descriptions that may be useful to people interested in education for neglected or delinquent youths.

EXECUTIVE SUMMARY

Chapter 1 of the Education Consolidation and Improvement Act authorizes, among other programs, services to meet the special educational needs of children in state institutions for neglected or delinquent (N or D) youths. The state N or D program, currently funded at $32,616,000, awards grants to state educational agencies (SEAs), which in turn award funds to state applicant agencies (SAAs)--typically a department of corrections and a division of youth services within a department of human resources. Chapter 1 services must supplement, not supplant the educational services that the SAAs provide. To ensure that services are supplemental, regulations require that the SAAs provide at least 10 hours of instruction weekly in an organized program funded from nonfederal sources. The state N or D program is also subject to other regulatory requirements, many of which are identical or similar to the rules governing Chapter 1's basic grants program.

Youths in three types of state-administered facilities are eligible to receive N or D services. These are (1) institutions for the care of children in the custody of a public agency as a result of a determination of neglect under state law, (2) institutions for the care of children in the custody of a public agency as a result of a determination under state law that they are delinquent, and (3) adult correctional institutions. To be eligible for Chapter 1 services, a youth must be under 21 and without a high school diploma or its equivalent.

The primary purpose of this research project was to provide current information on state Chapter 1 N or D programs. The research methods included a review of existing data; telephone calls to nine SEAs; and site visits to three states, three facilities in each state, and one or more transitional programs in each state. (The sites selected for telephone interviews and visits are not representative of the N or D program; instead, their diversity allows us to provide descriptive information on a relatively broad range of program operations.)

National data submitted by SEAs from 1983-84 show 79,772 youths eligible for N or D services, of whom 58,861 (74 percent) received Chapter 1 services at an average cost of $554 per student. Some 33,000 of these students were in juvenile delinquent facilities, about 23,000 were in adult correctional facilities, and 2,700 in institutions for the neglected. During the same year, 591 facilities throughout the country had Chapter 1 programs.

Administrative responsibilities for the N or D program are divided between the SEA and the SAAs. Most SEA program activities center on application review and approval; monitoring visits and facility-level technical assistance are infrequent. The SAA is responsible for administering and implementing the N or D program: SAA staff generally select program sites, provide technical assistance, and monitor programs. Many SAAs have an education program coordinator, reflecting the importance that schooling now takes in the correctional system.

Facility-level staff handle day-to-day program operations. Every site we visited had an accredited school (often in a separate building), headed by a principal. Principals report to wardens or facility superintendents, who treat the education program as an integral part of their institutions' rehabilitative efforts. Teachers in the facilities we visited are state employees and are certified. Facility-level staff determine what services to offer, hire teachers, and select students for Chapter 1. The SAA incorporates the facility's program plans into the application it submits to the SEA.

In the nine facilities studied for this research, the typical recipient of Chapter 1 services is a male in his mid to late teens. Many of the N or D students have previously dropped out of school; large numbers have achievement scores far below the average for their age group.

All programs we visited provide Chapter 1 services through individualized instruction to accommodate students' diverse educational experiences and needs. In general, Chapter 1 provides supplementary reading, language arts, and mathematics instruction. Most programs use a pullout model for services, and classes are small. In several places the Chapter 1 classrooms are less crowded, quieter, cleaner, and more attractive than the basic education classes.

Without exception, the Chapter 1 teachers we interviewed (and almost all basic education teachers, too) are very committed to teaching their neglected or delinquent students. Many seem driven to overcome the bad experiences most of their students

have had in their schooling, which include failure and dropping out. Time and again we heard the Chapter 1 teachers say that if students did not learn to read and write now, they never would--and the teachers are determined to give the students these survival skills. Staff report that the students show improvement when they are enrolled in Chapter 1 classes.

A number of students we met with are enthusiastic about attending school. Others are less interested. Most praise their teachers, crediting the teachers with helping them to learn.

A small component of our research was to identify and describe transitional programs designed to serve youths upon their release from a facility, especially those programs that help youths return to school. Locating transitional programs is not easy because many are not supported by Chapter 1, other federal funds, or state programs. We learned of five types of transitional programs: (1) prevention programs developed to assist youngsters before they get into trouble with the law; (2) alternative high schools that offer structured education suitable to the nontraditional student; (3) efforts by individuals in N or D facilities, especially some principals who help youths re-enter schools in their home communities; (4) efforts by individuals in school districts who make special outreach activities to assist N or D youths; and (5) group homes, the most formal type of transitional program, which provide food, shelter, counseling, and sometimes education at the site.

N or D programs face special constraints associated with the correctional setting. Unlike other Chapter 1 programs, N or D

must fit within a structure that does not have education as its top priority. The N or D programs provide compensatory education to students who vary in their length of assignment to the facility and have high mobility into and out of institutions. Moreover, the N or D students differ from typical students, with their previous educational and personal experiences creating enormous barriers that must be overcome for learning to occur. Overall, Chapter 1 programs in the sites we visited are fulfilling the intent of the law: they are providing supplementary instruction to students without high school diplomas, according to their special educational needs.

The program is not without shortcomings, however. Our report offers ideas on improving the quality of data submitted by SEAs, ensuring that programs become more in compliance with statutory and regulatory requirements, and increasing the federal identity in N or D programs.

Our research, while not comprehensive, suggests that the Chapter 1 N or D program is generally well administered and provides services to meet the special educational needs of institutionalized youths.

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The study of Chapter 1 services for neglected or delinquent youths in state-run facilities would not have been possible without the assistance and cooperation of many individuals. In particular, we thank the project officer, Judith Anderson of ED's Planning and Evaluation Service; Nancy Rhett and Sandy Brown of ED's Budget Service; and Carolyn Horner and David Maginnes of ED's Division of Compensatory Education programs.

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We deeply appreciate their contributions. We alone, however, are responsible for any errors of fact or interpretation.

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I. INTRODUCTION

Chapter 1 of the Education Consolidation and Improvement Act[1] is best known for its program of basic grants to local school districts to provide supplemental services for disadvantaged students. Of the $3.688 billion currently appropriated for Chapter 1, $3.2 billion--or 87 percent--is designated for this purpose. In addition, though, Chapter 1 authorizes three smaller programs that provide services for students from migrant families, for students in state-operated or supported facilities for the handicapped, and for students in state-operated or supported institutions for the neglected or delinquent (N or D).

This report describes selected aspects of the state-level N or D program.[2] At the request of the Office of Planning, Budget, and Evaluation in the U.S. Department of Education (ED), we undertook an analysis of this program to:

1. Provide current information on state Chapter 1 programs for neglected or delinquent students;

2. Identify areas in which pertinent information is not available; and

3. Respond to particular policy concerns, including whether transitional programs have been implemented

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[1] PL 97-35, August 13, 1981, as amended. Chapter 1 was formerly Title I of the Elementary and Secondary Education Act.

[2] Neglected or delinquent children in local-level facilities (that is, those not administered by a state agency) are eligible for services under the Chapter 1 basic grants program, which provides extra funds to local school districts to meet the special educational needs of these youths. The local-level N or D program is not addressed in this study.

that are designed to serve youths upon their return to their home communities.

Below, we review program operations, relevant literature, and available data on the Chapter 1 program for neglected or delinquent youths. We next discuss the research methods used in this study. This chapter concludes with an overview of the remainder of the report.

Chapter 1 for Neglected or Delinquent Youths in State Facilities

The Chapter 1 state-level N or D program began operations in FY 1967 through amendments to Title I of the Elementary and Secondary Education Act of 1965. The legislation authorized, among other items, state-run programs for the neglected and delinquent, and for children from migrant families.[3] A review of congressional hearings from that time shows that the primary concern was for orphans and children in foster homes--not for those in correctional facilities, who now constitute most of the N or D recipients in state-run institutions. (The shift in beneficiaries of services reflects societal trends, namely that fewer orphanages exist and that children in foster homes tend to attend regular public or private schools.)

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[3] PL 89-750, November 3, 1966. Amendments a year before had added the program for children in state-run facilities for the handicapped (PL 89-313, November 1, 1965). PL 92-318, passed on June 23, 1972, extended Title I services to children up to 21 years old in adult correctional facilities.

A representative of the corrections community introduced the idea of serving the delinquent population in testimony delivered before a House of Representatives subcommittee:[4]

> I want to speak for another segment of our young population, not included in [the bill under consideration], and not provided for in the elementary and secondary education pact [sic]. Those are the boys and girls in the institutions serving delinquent youth across the country . . . . There is now in institutions serving delinquent youth in the United States the greatest congregation of unlearned, uncared for, unwanted, unloved, and undisciplined young people to be found in the country. . . .

The neglected or delinquent population is still a needy one. Statistics show that only 28 percent of the population in adult correctional facilities had four years of high school or more. Nearly 46 percent had one to three years of high school, and 25 percent had less than a ninth grade education.[5] Comparable data are not available on the educational levels of the population served by juvenile facilities. As the population is younger, however, we would expect residents in juvenile institutions to have even less formal education.

Currently funded at $32,616,000, the Chapter 1 N or D program authorizes grants to state agencies for programs to meet the

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[4] Statement of Blaine M. Madison, North Carolina Commissioner of Juvenile Correction and President of the National Association of Training Schools and Juvenile Agencies, Hearings before the Subcommittee on Education, Committee on Labor and Public Welfare, U.S. Senate, 89th Congress, 2nd session, 1966, pp. 1295-1296.

[5] "1979 State Inmate Survey," Bureau of Justice Statistics, U.S. Department of Justice, Washington, D.C.

special educational needs of children in state schools for neglected or delinquent youths.[6]

Children in three types of state-administered facilities are eligible for these Chapter 1 services: (1) institutions for the care of children in the custody of a public agency as a result of a determination of neglect under state law, (2) institutions for the care of children in the custody of a public agency as a result of a determination under state law that they are delinquent, and (3) adult correctional institutions. The institutions for neglected or delinquent children must have residents who stay for an average of at least 30 days. To be eligible for Chapter 1 services, a youth must be under 21, lack a high school diploma or its equivalent, and participate for at least ten hours per week in an organized program of instruction supported by nonfederal funds (34 CFR 203). Chapter 1 N or D grants are awarded to state educational agencies (SEAs) on a per capita basis that takes into account the average daily attendance of the eligible population in organized instructional programs and state per pupil expenditures for public elementary and secondary education. SEAs, in turn, award funds to eligible state applicant agencies (SAAs)

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[6]Detailed budget information is contained in Wayne Riddle, "Grants to State Agencies for the Education of Neglected or Delinquent Children Under Chapter 1, Education Consolidation and Improvement Act: Brief Legislative and Funding History and Analysis of Program Evaluations," in A Compilation of Papers on the Twentieth Anniversary of the Elementary and Secondary Education Act of 1965, Serial No. 99-D, Subcommittee on Elementary, Secondary, and Vocational Education of the Committee on Education and Labor, United States House of Representatives, August 1985. This report compares appropriations levels with constant dollar levels and shows that Chapter 1 N or D funds now buy less than in 1968--the second year of the program.

that are responsible for providing free public education to children in institutions for the neglected or delinquent or in adult correctional facilities. These state applicant agencies are most often a department of corrections and a division of youth services within a department of human resources.

Certain restrictions apply to the Chapter 1 N or D program.[7] Regulations require a state applicant agency to base its Chapter 1 project on an annual assessment of the educational needs of the institutionalized youths. The assessment must: (1) ensure that students who have the greatest need for special assistance are selected for services and (2) sufficiently specify students' educational needs to guarantee concentration on them. The SAA must meet Chapter 1's "maintenance of effort" requirement, meaning that the nonfederal funds expended on education in the previous fiscal year must be at least 90 percent of the nonfederal funds spent for education in the second preceding fiscal year. SAAs are to evaluate the projects at least once every three years[8] and assure that the projects are of sufficient size, scope, and quality "to give reasonable promise of substantial progress toward meeting the special educational needs of children being served." The state applicant agency must design and implement the Chapter 1 project in consultation with N or D teachers and, to the extent feasible, with parents.

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[7] PL 97-35, August 13, 1981, as amended; 34 CFR 203.

[8] The rule regarding the frequency of evaluation appeared in the Federal Register on May 19, 1986 (p. 18413) and will take effect 45 days after publication.

Chapter 1 must be used to meet the "special educational needs" of children in institutions for the neglected or delinquent. In addition, Chapter 1 services must supplement, not supplant, the educational services that the facilities provide. To ensure that services are supplemental, new regulations effective in 1985[9] require that facilities provide a minimum of 10 hours weekly in an organized program of instruction funded from nonfederal sources; previously, only five hours of instruction per week had been required.

Little information is available about the N or D program, although SEAs are supposed to send ED annual performance reports that include (1) the number of students eligible for services, (2) the number of students receiving services, (3) the number of participants in each of four age groups by the three types of institutions, (4) participant numbers in several categories of instructional and support services for each type of institution, and (5) participant counts by racial/ethnic group.[10] ED now has this information for fiscal years 1983 and 1984, but inconsistencies in the data submitted raise doubts about validity.

State-by-state data about recipients, facilities, and costs for the N or D program in 1983-84 appears in Tables 1 and 2.

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[9] Federal Register, April 30, 1985, p. 18415.

[10] Annually, states also submit average daily attendance (ADA) figures, which ED uses to calculate the amount of N or D grants awarded to SEAs. The ADA counts are not equivalent to either the number of students eligible for services or the number of students receiving services.

These figures, based upon state performance reports,[11] are suspect for the following reasons:

- Some states define the eligible population as those who actually received services.
- The numbers are internally inconsistent. For example, the participant counts reported in different sets of categories (e.g., by type of service or participant characteristics) add up to different totals.
- We believe that some states may have erroneously reported both their state and local N or D populations on the state performance form. Only the state program should be contained in these figures.

With these caveats in mind, Table 1 shows that states report serving nearly 60,000 students in 1983-84, which is about three-quarters (.74) of the eligible population residing in facilities that offer Chapter 1 services.[12] The proportion of eligible students receiving services ranges from a low of .29 in Massachusetts to a high of .97 in Pennsylvania.[13]

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[11] We also used funding figures from ED for Table 1. For the states that had not submitted complete performance reports, we collected missing data by telephone. We called every SEA to get information on the number of facilities contained in Table 2.

[12] Some youths who would be eligible for services are located in facilities that do not have Chapter 1 programs. We have no way to estimate how many facilities with eligible youths do not have Chapter 1 programs.

[13] The figures for proportions discount the ten states that report equal numbers of eligible and served youths (Arizona, Arkansas, Hawaii, Indiana, Mississippi, Nebraska, Oregon, South Dakota, Utah, and West Virginia). They also eliminate the states that report a higher number of recipients than the number eligible (Connecticut, Maryland, New Hampshire, Rhode Island, Vermont, Washington, and Wyoming). We called these last seven states to verify their data. SEA officials explained that the numbers are discrepant for state-specific reasons. For example, one state defines the eligible population as the total number of slots available in institutions, not as the number of youths under 21 without a high school diploma who pass through facilities during the course of a given year.

Table 1

Chapter 1 Neglected or Delinquent Student Population and Grant Size, by State (1983-84)

State	Student Population			Grant Size	
	Eligible	Recipients	Proportion Served	Amount	Per Recipient
Alabama	636	603	0.95	$ 230,130	$ 381.64
Alaska	185	109	0.59	119,647	1,097.68
Arizona	1,406	1,406	1.00	370,394	263.44
Arkansas	535	535	1.00	268,395	501.67
California	5,747	2,524	0.44	2,772,349	1,098.40
Colorado	604	574	0.95	363,109	632.60
Connecticut	1,352	1,364	1.01	789,986	579.17
Delaware	563	237	0.42	193,214	815.25
Florida	2,541	2,164	0.85	1,333,429	616.19
Georgia	3,021	2,364	0.78	800,336	338.55
Hawaii	224	224	1.00	52,607	234.85
Idaho	307	98	0.32	56,051	571.95
Illinois	2,697	2,570	0.95	1,076,866	419.01
Indiana	797	797	1.00	690,239	866.05
Iowa	626	348	0.56	349,234	1,003.55
Kansas	935	420	0.45	428,374	1,019.94
Kentucky	1,665	1,016	0.61	435,469	428.61
Louisiana	1,393	800	0.57	762,609	953.26
Maine	686	460	0.67	147,132	319.85
Maryland	1,439	2,668	1.85	1,163,327	436.03
Massachusetts	4,138	1,187	0.29	502,033	422.94
Michigan	4,577	2,466	0.54	1,210,958	491.06
Minnesota	1,058	562	0.53	361,747	643.68
Mississippi	497	497	1.00	274,863	553.04
Missouri	692	512	0.74	333,626	651.61
Montana	182	150	0.82	114,503	763.35
Nebraska	173	173	1.00	145,937	843.57
Nevada	540	434	0.80	285,579	658.02
New Hampshire	276	374	1.36	69,089	184.73
New Jersey	1,981	1,524	0.77	1,166,560	765.46
New Mexico	1,145	871	0.76	285,097	327.32
New York	6,822	2,943	0.43	3,827,902	1,300.68
North Carolina	3,359	2,440	0.73	1,084,361	444.41
North Dakota	210	100	0.48	66,829	668.29
Ohio	2,802	1,833	0.65	1,527,485	833.33
Oklahoma	706	261	0.37	546,319	2,093.18
Oregon	1,441	1,441	1.00	843,998	614.71
Pennsylvania	2,042	1,987	0.97	1,251,560	629.87
Rhode Island	57	75	1.32	46,080	614.40
South Carolina	2,521	2,046	0.81	843,990	412.51
South Dakota	129	129	1.00	70,239	544.49
Tennessee	3,969	3,525	0.89	837,523	235.99
Texas	4,239	3,917	0.92	1,315,712	335.90
Utah	557	557	1.00	185,398	332.85
Vermont	102	202	1.98	64,677	320.18
Virginia	2,889	2,484	0.86	612,205	246.46
Washington	1,053	1,476	1.40	805,272	545.58
West Virginia	320	320	1.00	246,665	770.83
Wisconsin	765	698	0.91	630,478	903.26
Wyoming	159	221	1.39	122,073	552.37
Washington, DC	1,087	571	0.53	384,003	672.51
Puerto Rico	1,925	1,604	0.83	150,342	93.73
TOTAL	79,772	58,861		$32,616,000	
AVERAGE			0.74	$627,231	$554.12

Grants to the states average $627,231. This means that the cost for each youth receiving services averages $554. Costs per recipient vary widely from a low of $93.73 in Puerto Rico to $2,093.18 in Oklahoma (Figure 1).

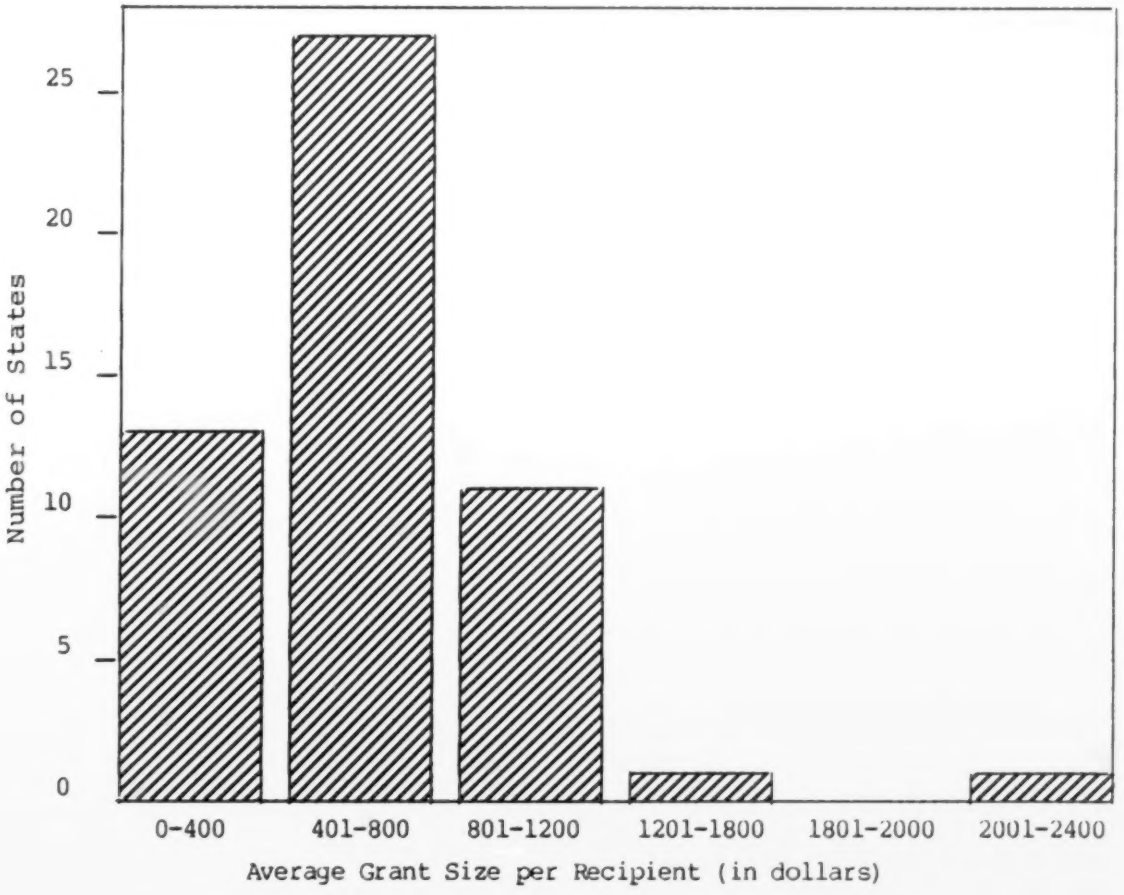

Figure 1
1983-84 Chapter 1 N or D Grant Size Per Recipient

Information on types of facilities and recipients is presented in Table 2. Fifteen states, the District of Columbia, and Puerto Rico have facilities for neglected youths. Facilities for the delinquent make up over half of all facilities receiving

Table 2

Number of Facilities and Youths Receiving Chapter 1 State N or D Services, by State (1983-84)

State	Neglected		Delinquent		Adult		Total	
	Facilities	Students	Facilities	Students	Facilities	Students	Facilities	Students
Alabama	0	0	3	603	0	0	3	603
Alaska	0	0	4	109	2	17	6	126
Arizona	0	0	4	372	2	182	6	554
Arkansas	0	0	2	240	5	295	6	535
California	0	0	17	1,748	7	776	24	2,524
Colorado	0	0	5	474	1	100	6	574
Connecticut	1	32	1	123	8	1,209	10	1,364
Delaware	0	0	2	198	2	39	4	237
Florida	0	0	3	496	9	1,668	12	2,164
Georgia	0	0	5	1,240	4	1,124	9	2,364
Hawaii	0	0	1	224	0	0	1	224
Idaho	0	0	1	64	1	34	2	98
Illinois	4	475	10	1,084	11	1,011	25	2,570
Indiana	1	166	7	331	7	300	15	797
Iowa	1	33	1	126	1	189	3	348
Kansas	6	107	8	498	1	94	15	699
Kentucky	0	0	14	842	5	174	19	1,016
Louisiana	0	0	4	665	6	135	10	800
Maine	0	0	2	400	1	60	3	460
Maryland	0	0	3	2,268	7	400	10	2,668
Massachusetts	0	0	17	803	7	384	24	1,187
Michigan	0	0	12	1,260	4	1,206	16	2,466
Minnesota	0	0	3	282	1	280	4	562
Mississippi	0	0	2	803	1	215	3	498
Missouri	0	0	8	172	4	340	12	512
Montana	0	0	2	63	2	87	4	150
Nebraska	1	46	1	77	1	50	3	173
Nevada	0	0	2	434	0	0	2	434
New Hampshire	0	0	1	370	1	4	2	374
New Jersey	0	0	18	1,236	4	288	22	1,524
New Mexico	0	0	2	648	3	223	5	871
New York	0	0	64	1,298	28	1,645	92	2,943
North Carolina	0	0	5	484	8	1,956	13	2,440
North Dakota	0	0	1	100	0	0	1	100
Ohio	1	107	9	1,100	4	626	14	1,833
Oklahoma	0	0	2	94	4	167	6	261
Oregon	6	91	4	1,060	3	222	13	1,373
Pennsylvania	1	210	11	1,151	5	626	17	1,987
Rhode Island	0	0	0	0	1	75	1	75
South Carolina	1	40	3	319	6	1,687	10	2,046
South Dakota	0	0	2	90	1	39	3	129
Tennessee	1	846	5	1,953	3	750	9	3,549
Texas	1	49	5	1,363	21	2,505	27	3,917
Utah	10	67	10	624	2	17	22	708
Vermont	0	0	4	79	6	123	10	202
Virginia	0	0	7	1,963	4	521	11	2,484
Washington	1	10	18	1,259	2	207	21	1,476
West Virginia	1	41	3	230	2	49	6	320
Wisconsin	0	0	2	318	4	380	6	698
Wyoming	0	0	2	221	0	0	2	221
Washington, DC	3	250	3	71	1	250	7	571
Puerto Rico	4	146	8	1,245	2	213	14	1,604
TOTAL	44	2,716	333	32,755	215	22,942	591	58,413
AVERAGE	1	52	6	630	4	441	11	1,123

Chapter 1 funds. Correspondingly, 32,755 recipients are in delinquent facilities, 22,942 in adult facilities, and 2,716 in institutions for the neglected.

The state reports on participant characteristics show that in juvenile delinquent facilities, 64 percent of the participating students are 14 to 16 years old, and 28 percent are 17 to 21. More than half the students in neglected facilities are 14-16 years old. More than 99 percent of the Chapter 1 students in adult correctional institutions are 17 to 21. Based on the 24 SEAs that reported comprehensive racial data, 43 percent of the N or D students are white, 43 percent black, 12 percent Hispanic, and 2 percent American Indian or other racial classification.[14]

The federal government has one other source of annual information about the N or D program: reports submitted by SEAs under the General Education Provisions Act (GEPA). The GEPA survey asks SEAs to provide information on subgrant allocations of Chapter 1 funds. These data are flawed, however, because some states have reported data not only on the state program for neglected or delinquent youths but also on the locally administered program. Because of these problems, the data are not presented here. ED has recently issued clarifying instructions that should improve the validity of future reports.

To date, only two evaluations of the N or D program have been performed. The most comprehensive was a congressionally

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[14] Only one of the most populous states is not included in this racial/ethnic breakout.

mandated study conducted in 1976 by the System Development Corporation of Santa Monica, California. In that study a random sample of 100 facilities was selected for examination, stratified according to (1) type of facility (neglected, delinquent, adult), (2) geographic region of the country, and (3) number of Title I eligible students. Numerous individuals were interviewed at the state level and in facilities; classrooms were observed and materials were reviewed.[15]

Several major findings emerged from that research. First, the Title I neglected or delinquent programs generally supplemented other educational programs and usually focused on reading and mathematics. Instruction was often individualized. Administrators, staff, and students reported satisfaction with the program and services provided. Tests of participating students showed that half were functioning at a third- to fifth-grade level in language arts and mathematics.

Whether an institution was oriented toward treatment or toward custody affected perceptions regarding the Title I program, according to the 1976 study. Staff in treatment-oriented institutions viewed Title I (and education in general) as more effective, while staff in custodial facilities were less supportive (and also emphasized vocational training to a greater extent).

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[15] Of the five volumes from the study, the most pertient are Ted Bartell et al., Compensatory Education and Confined Youth: A National Evaluation of Title I Program in State Institutions for Neglected or Delinquent Youth, Volume 1, System Development Corporation, Santa Monica, 1977; and Judy C. Pfannenstiel and J. Ward Keesling, Compensatory Education and Confined Youth: A Final Report, Volume 5, System Development Corporation, Santa Monica, 1980.

Other conclusions from the study are:

- Many students are in state facilities for less than six months, thus raising questions about the possibilities for program effectiveness due to such a short period for supplementary educational treatment.
- Only about half of the eligible Title I population was being served due to limited funds.
- Difficulties in staffing were cited, especially in recruitment, retention, and in-service training.
- Concerns were raised about the problems students had in making the transition from the facility back to the community and regular schools.

At about the same time, the U.S. General Accounting Office also examined the Title I neglected or delinquent program. The primary focus of the study was to examine program effectiveness in terms of the types of educational services provided and the needs of institutionalized children. Based on evidence collected for the research, the report concluded that (1) educational services would be more effective if they were targeted to younger children, who are more likely to return to school after their release, and (2) the educational program, while meeting an important need, was not responsive to the most important needs of institutionalized youths, namely mental health services.[16]

Research Methods

Our study of the Chapter 1 N or D program included a review of available documents, telephone interviews with officials in

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[16] U.S. General Accounting Office, Reevaluation Needed for Educational Assistance for Institutionalized Neglected or Delinquent Children, HRD-78-11, Washington, D.C., 1977.

nine states, and visits to state agencies and facilities in three states. Our research began with a review of existing literature, congressional hearings, regulations, budgets, and state reports to ED. Based on these documents plus discussions with ED staff and experts in the field, we selected nine states for telephone interviews.

Our contact person in each state educational agency was the person responsible for the state-administered neglected or delinquent program. Some conference calls were conducted when SEA staff referred us to multiple sources of information. Each interview followed a topical guide designed to elicit descriptive information about the N or D program. (A copy of the topical guide is presented in Appendix A.) We also asked that copies of revelant documents be mailed to us.

The next step was to select three states and three facilities within each state for site visits. Several criteria guided our selection. In an effort to visit states that exhibit program variations, we looked for diversity in the amounts allocated to facilities, in the types of facilities operating programs (i.e., neglected, delinquent, and adult correctional), and in the apparent directiveness exerted by the SEA. We also hunted for states and localities operating transitional programs.

In each state we structured our discussions around a topical guide (presented in Appendix B). We met with staff from the SEA and the state applicant agencies, usually in a joint session. Two people then spent approximately one day in each facility,

reviewing documents and talking with the warden or superintendent, the educational program director, Chapter 1 and other teachers, and students. In each facility we collected data on students and budget information.

In no sense are the sites selected for telephone interviews or visits representative of the N or D program. Instead, their diversity allows us to provide descriptive information on a relatively broad range of program operations.

Overview of the Report

In the next chapter we provide information on the federal and state administration of the N or D program. Chapter III presents reviews of particular state management routines and facility-level operations. Chapter IV briefly discusses transitional programs. The last chapter offers conclusions.

II. FEDERAL AND STATE ADMINISTRATIVE OPERATIONS

The administrative practices of federal and state agencies influence the educational programs that institutions offer under the Chapter 1 N or D program. These practices shape the content of applications, the amount and type of technical assistance, and the intensity and focus of monitoring. This chapter describes these and other administrative practices. It discusses the activities of federal and state agencies, including both state educational agencies and state applicant agencies.

The overview of federal operations is based on documents and interviews. Most of the information on state-level activities is drawn from telephone interviews with SEA staff, supplemented by interviews conducted during site visits to three states. The nine states selected for telephone interviews vary widely across several dimensions (Figure 2), reflecting our selection procedures (which are described in Chapter I of this report).

Five of the sample states do not have funded programs for the neglected, although all nine have programs in both juvenile and adult correctional facilities. States that had transitional programs funded by ED in 1982 and 1983 were overrepresented in our sample to increase our chances of locating these types of programs.

For the remaining variables--number of facilities, pupil population, and grant size--states were divided into three categories (high, middle, and low). Data on these variables came from reports to ED on 1983-84 program operations, supplemented by

Figure 2

Characteristics of States Selected for Telephone Interviews

State	Types of Facilities with Chapter 1 Programs			Number of Facilities with Chapter 1 Programs	Chapter 1 Pupil Population		N or D Grant Size		History of Transitional Programs
	Neglected	Delinquent	Adult Correctional		Proportion Eligible	Proportion Served	Overall	Per Pupil	
California	no	yes	yes	high	high	high	high	high	yes
Colorado	no	yes	yes	low	middle	middle	middle	middle	yes
New York	no	yes	yes	high	high	high	high	high	yes
North Carolina	no	yes	yes	middle	high	high	high	low	yes
Oklahoma	no	yes	yes	middle	middle	low	low	high	yes
Oregon	yes	yes	yes	middle	middle	high	high	middle	yes
Tennessee	yes	yes	yes	middle	high	high	high	low	yes
Texas	yes	yes	yes	high	high	high	high	low	no
West Virginia	yes	yes	yes	low	low	low	middle	middle	no

[a] The data in this figure come from records we examined at the start of this study when we established the sampling scheme. Some items may not agree with the numbers in Tables 1 and 2, which contain figures that were corrected or verified throughout our research project.

telephone calls to SEAs for missing or previously unreported data.[1]

This chapter begins with a review of administrative activities within ED. The responsibilities and organizational arrangements of SEAs and state applicant agencies are discussed in the remaining sections of the chapter.

Federal Government Operations

Chapter 1 program operations are handled by ED's Division of Compensatory Education Programs (CEP) in the Office of Elementary and Secondary Education. N or D represents a very small portion of the staff's responsibilities. One person is responsible for N or D program policy; other CEP staff share program responsibilities, such as monitors who assess N or D operations during their Chapter 1 site visits to states. ED budget office staff deal with N or D allocations.

In recent years, the major activities of the Compensatory Education Programs Division for N or D have included issuing regulations that increased the number of instructional hours required in facilities, co-sponsoring a conference in October 1985 on education in correctional settings, and drafting non-regulatory guidance. On occasion, staff identify N or D model projects and disseminate information about them.

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[1] For example, the state performance reports do not ask for the number of facilities that received N or D funds. Although the GEPA survey asks states to provide this information, some states provide information only on SAA subgrants, while other states do not report any information.

When ED staff monitor Chapter 1, they review program and fiscal documents concerning the N or D program during visits to SEAs. They often visit a facility near the SEA, using a monitoring instrument to guide their work. In 1984-85 ED staff monitored 27 states; they visited a total of 22 N or D facilities in 21 of these states.

A Corrections Education Program office was recently added to ED's Office of Vocational and Adult Education. At present, the program has two professional staff members whose main responsibilities are to coordinate services within ED, provide leadership in corrections education, and broker information. This program worked in conjunction with the Compensatory Education Division to host the 1985 conference on education in correctional settings. In addition, the Corrections Education Program has ongoing training sessions for state corrections education officials.

Another form of federal involvement is worth mentioning. A few years ago ED asked the Region I Technical Assistance Center (TAC) to develop a guide or reference for N or D evaluation practices. TAC staff from across the country helped to put together a document that addresses some of the problems inherent in trying to evaluate a program that serves an unusual student population.[2]

We heard from state and facility staff that N or D received more attention from federal offices in past years. Some state coordinators recalled participating in several regional or

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[2] The Evaluator's Reference for Chapter 1 Neglected or Delinquent Youth Programs, RMC Research, Region I TAC, Hampton, New Hampshire, April 1983.

national conferences, which they described as "enormously helpful." They attribute the decline in these activities to a reduced availability of funds to cover their travel costs and turnover in federal staff.

Responsibilities of State Educational Agencies

N or D coordinators in SEAs are responsible for overseeing the Chapter 1 program, which generally requires application review and approval, contact with state applicant agencies, and responding to questions raised by facilities or applicant agencies. Regular on-site technical assistance and monitoring are rare. All these activities are discussed below.

One SEA staff member in the Chapter 1 office usually handles N or D program management. Staff time is covered from the Chapter 1 appropriation for SEA administration, which may not exceed 1 percent (or $225,000, whichever is larger) of a state's entire Chapter 1 grant from the basic, handicapped, migrant, and N or D programs. Many of the N or D coordinators we interviewed are relatively new to their specific responsibilities, though some of them have been in the Chapter 1 office for a number of years.

Application Review and Approval

State applicant agencies submit program applications to SEAs at least once every three years. The SEA may approve the SAA's application if it "meets the requirements of the Chapter 1 statute and the applicable regulations" (34 CFR 203.13). Current regulations require the application to include (1) a "satisfactory description" of the Chapter 1 project that will be

conducted; (2) assurances regarding needs assessment, evaluation, and size, scope, and quality; (3) data showing maintenance of effort; and (4) a budget for Chapter 1 funds. SAAs must annually update their applications with data on maintenance of effort; Chapter 1 budgets; significant changes in the number of youths to be served, their needs, or the services to be provided; and other information the SEA requests.

The required application contents changed in the transition from Title I to Chapter 1. Previously, the regulations required the application to include (1) information on the institutions (i.e., name, location, type, total population, total number of children, eligible population, and descriptions of current educational programs); (2) a needs assessment, including a description of the means used to identify the special educational needs and intended recipients of services, analysis of the results of these procedures, and evaluation of past programs; and (3) descriptions of proposed projects.

The states we telephoned continue to ask for the information on institutions that the previous regulations detailed. In general, the information requested is quite consistent across states. Some SEAs have developed applications specifically for N or D, while others have the state applicant agency fill out appropriate sections of the general Chapter 1 application. All the applications list program goals and the means to be used to achieve them. A few applications from the sampled states include a brief description of the state applicant agency's role in administering Chapter 1 (e.g., responsibilities for program operations, administration, direction, and information dissemination).

For needs assessments, some applications require an analysis of test scores and program results. Applications for SAAs in California, Colorado, New York, North Carolina, and Oklahoma take this approach. Colorado's needs assessments are included in a section on staffing for facility-level projects. Texas includes attendance area selection and student participation figures as part of its needs assessment. Tennessee asks for the numbers of youths exhibiting need, the number to be served, and the grade levels of participants.

Some application forms call for a description of the state-funded and vocational courses that facilities provide, though none requires the SAA to specify the number of hours such courses are offered weekly. Tennessee asks for the number of students served in each course, the number of staff employed in the state-funded program, funding sources, and a description of the service delivery mechanisms.

That Chapter 1 programs are to supplement, not supplant, other programs is specifically mentioned in assurances on the California and Oregon applications. Tennessee requires applicants to sign an assurance that state programs are maintained at the same levels as they would be without Chapter 1, and other states require assurances that programs will be operated in compliance with all applicable federal and state requirements.

Some SEAs ask for evaluation data such as number of students in the program, staff to student ratios, and pre- and posttest results. Applications in other states mention that evaluations are to be conducted.

Contact with State Applicant Agencies

Not much contact is reported between SEAs and state applicant agencies. The contact that does take place tends to center on mechanical matters, such as budget allocations and application submissions, and not on programmatic issues. The N or D coordinator in one SEA spoke about the contacts in his state, which are typical of other states in our sample: "We talk about once or twice a month. They may alert us that they are sending in an amendment to their application. They might have some questions about evaluation, calculating average daily attendance figures, or their budget amounts. We get in touch with them to schedule monitoring visits and to provide feedback after those visits."

A few states told us about other types of contacts. Some SEAs invite representatives from the state applicant agencies to their annual meetings, attended by all Chapter 1 coordinators, on application procedures. In Colorado, these meetings include a special session that covers the N or D program for both state and local operations. Oregon hosts an annual staff development conference and invites the applicant agencies. In Tennessee a new N or D coordinator was taken around to visit all recipient facilities by a staff member from the state applicant agency.

Technical Assistance

SEA staff seldom offer unsolicited technical assistance on the N or D program, but they respond to telephone inquiries from state applicant agencies or recipient facilities. The extent of their assistance varies. For example, staff in Oklahoma told us

that questions from juvenile delinquent facilities are often directed to neighboring local school districts, while questions from adult facilities are directed to the SEA.

Four states in our sample--California, Colorado, Oregon, and Texas--indicate that they conduct in-service programs or workshops that provide both programmatic assistance and staff development. These meetings are often held in conjunction with more general Chapter 1 conferences. Our telephone interviews and site visits, however, show that technical assistance on specific, substantive N or D program issues is rare.

Monitoring

The frequency of SEA monitoring visits to facilities differs across states. Some states monitor annually; others have not monitored at all (which has resulted in a citation from ED). California, Colorado, and Texas report monitoring N or D facilities every three years, but each state's particular situation affects this practice. For example, Colorado monitors in conjunction with accreditation reviews. Texas is considering a switch to a five-year cycle. Oregon's facilities are monitored every three years, but a state applicant agency conducts the visits, using a checklist prepared by the SEA.

North Carolina and Tennessee have reduced their frequency of monitoring from annually to every other year. In both states the reduction was attributed to the decrease in state Chapter 1 administration funds that occurred in the change from Title I to

Chapter 1.[3] Some facilities in these states are still monitored annually "because of problems we've found in the past--such as not reimbursing Chapter 1 when the Chapter 1 teacher fills in tor a regular education teacher who is out sick, not keeping inventory, or just general sloppy administration." In both North Carolina and Tennessee a staff member from a state applicant agency often accompanies the SEA person during the monitoring visits.

The substance of the monitoring efforts is similar across states. Checklists from the states indicate that a typical review covers program design and implementation, needs assessment, pupil selection, teacher consultation, equipment, fiscal management, diagnostic procedures, instruction, supplement-not-supplant, and evaluation. Results are shared orally and in writing, sometimes with both the facility and its parent agency.

Responsibilities of State Applicant Agencies

In general, a state applicant agency selects the facilities where Chapter 1 N or D programs will operate, develops the overall design of the programs, and submits the proposed programs tor SEA review and approval. SEA approval of an application compels the SAA "to administer and operate its project in accordance with its application, any amendments, and project requirements . . ."

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[3] Under Title I SEAs could receive administrative funds not to exceed 1.5 percent (or $225,000, whichever was greater) ot the total grant coming into the state. Chapter 1 reduced the administrative allocation to up to 1 percent (or $225,000).

(34 CFR 203.13). Thirty-five states have more than one state applicant agency, often including a department of corrections and a division of youth services within a department of human resources. Corrections education experts told us that virtually all state applicant agencies have an education program director or an education program contact, reflecting the important place that education now takes in these organizations. The education staff in the state applicant agencies often coordinate or supervise extensive facility-level program operations. For example, every one of the recipient institutions visited for this study has a state-accredited school headed by a principal. Teachers in the school are state employees and thus have to meet both state civil service requirements (when applicable) and certification requirements.

State applicant agencies vary in the extent to which they exercise control over the educational programs that facilities offer. The scope of general education in facilities is often affected by funding allocations, especially for basic education teachers whose salaries and numbers may be set by the state applicant agency. Other areas that may be driven by state-level decisions include curriculum, in-service training opportunities, selection of a principal, and general education requirements that apply to all students (e.g., passing a competency examination to graduate from high school). These decisions, in turn, affect the N or D operations because Chapter 1 is to supplement the basic program.

Interestingly, two states in our sample have applicant agencies that are officially designated as local educational agencies. These are the Department of Correction in Tennessee (which serves both juvenile delinquents and adult offenders) and the Windham School System in Texas (which serves the adult correctional facilities).

Four of the nine states in our sample report that at least one of their state applicant agencies retains a portion of Chapter 1 funds to cover central office costs.[4] These funds are sometimes used to pay part of the Chapter 1 coordinator's salary. In one state applicant agency Chapter 1 funds a computer consultant plus part-time speech and hearing therapists who visit facilities. In another state applicant agency Chapter 1 pays for several curriculum coordinators.

Selection of sites for program operations is governed by the federal law and regulations and is also subject to SEA requirements in some states. In practice, few eligible facilities fail to receive program services. In each of the nine states we telephoned, a Chapter 1 program was reported to be operating in almost every facility that had populations under age 21 without high school diplomas or their equivalent. Just about the only

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[4] No federal guidelines set limits on the amount of dollars or percentage that state applicant agencies may use to cover administrative costs. However, a section of the Education Department General Administrative Regulations (EDGAR) provides guidance on allowable costs that SEAs may use in reviewing Chapter 1 applications. SEAs may also apply their own equivalent procedures for financial management and control.

facilities without Chapter 1 programs are those that have too small an eligible population to justify the investment. While not all states have fixed definitions of "too small," most telephone respondents indicated that a good rule of thumb calls for a class of at least 10 students.[5]

In no state did we learn that an applicant agency had proposed a facility for services that was rejected by the SEA. This is partly due to the fact that SAA staff are very knowledgeable about Chapter 1 purposes and restrictions. It is also due, we believe, to the commitment evidenced by state applicant agency staff to proper and legal program operations.

The state applicant agency sets parameters on the Chapter 1 program, such as deciding to offer services in reading and mathematics. However, SEA staff report that most of the detailed decisions necessary for daily program operations are made at the facility level. These decisions include who gets served, what materials are used, and how Chapter 1 is coordinated with the basic program.

Conclusions

Our interviews and document reviews show that N or D program administration is well-established and routinized. Compared to other Chapter 1 programs, N or D receives little attention from

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[5] This constraint is consistent with the federal provision that Chapter 1 programs be of sufficient size, scope, and quality. Respondents also indicated that it would "not make sense to run a special program for just a handful of students."

the federal government or SEAs, which is probably due to its relatively small size. Most of the contact that CEP staff have with N or D personnel occurs during state-level program reviews. The new Corrections Education Program in ED may signal a departure from past practices, but its location outside the Compensatory Education Programs Division limits its relationship with Chapter 1.

State educational agencies do not devote much time to the N or D program. SEA activities focus on application review and approval. SEA staff monitor facilities infrequently and rarely provide programmatic technical assistance.

State applicant agencies play an important role in administering the neglected or delinquent program. SAA staff develop projects, select program sites, outline the structure of Chapter 1 progams, and oversee facility-level operations.

The administrative system for N or D is complex, involving a number of people whose primary responsibilities pertain to other programs, and it is complicated by crossing jurisdictional boundaries of state agencies. The results of these activities are discussed in the next chapter, which provides information from our visits to N or D facilities.

III. FACILITY OPERATIONS

The day-to-day operations of the N or D program take place at the facility level. In this chapter we review the N or D program operations in the nine facilities we visited in Colorado, New York, and Tennessee. While all programs vary, we first discuss the typical procedures used to provide N or D services. We then briefly describe the administrative and program operations in the facilities visited.

Overview of Facility Operations

Assignment to a Facility

Procedures for assigning youths to facilities for the neglected are different from those used with juvenile delinquents and adult offenders. The youngsters in institutions for the neglected have been determined by a court to be wards of the state and have been assigned to the care of an institution. Relatively few state facilities for neglected youths remain because most such youths are now served in locally based programs.[1]

Juvenile delinquents and adult offenders, once committed by a court to the state, are often housed at intake centers for

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[1] The discussion in this section is based primarily on the delinquent and adult programs because most N or D programs are found in juvenile delinquent facilities and adult correctional institutions. Variations are noted when the neglected programs differ from the delinquent and adult programs.

about one month. There, specialists review records and administer diagnostic tests in order to identify a placement and course of treatment appropriate to each youth's personal history, psychological characteristics, educational needs, and so forth.

A youth's placement depends upon the intake center's recommendation and the availability of space at the facilities. Many states try to group offenders according to the severity of the punishment prescribed, types of services needed, age groups, or other characteristics. For example, adult correctional facilities are often divided by level of security (e.g., minimum, medium, maximum). Additionally, juveniles are often assigned to facilities near their home community.

Organization of the Education Program

Each facility we visited has a state-accredited school headed by a principal.[2] Principals report to wardens or facility superintendents, who treat the education program as an integral part of their institutions' rehabilitative efforts. The comment of a warden in a maximum security facility reflects the unanimous opinion of education found among facility directors in this study: "I'd hate to have to run a prison without the benefit of

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[2] In contrast, an earlier study found that all or part of the educational programs in 50 percent of the N or D facilities were not accredited (Ted Bartell et al., Compensatory Education and Confined Youth: A National Evaluation of Title I Programs in State Institutions for Neglected or Delinquent Youth, Volume 1, System Development Corporation, Santa Monica, 1977, p. 100). Experts in the field advise us that more programs have received accreditation since that time, reflecting the increased importance of education in correctional facilities.

an education program." A number of facilities have full-day school programs, and a few run half-day programs.

Most youths in juvenile delinquent and adult correctional facilities we visited attend classes. Several factors encourage youths to participate in school. Those sent to juvenile delinquent facilities are usually required by the sentencing court to attend school, although state compulsory attendance laws require only youths under 17 to be in school. Another factor is the pressure, not always subtle, from facility staff to attend school. As one official told us, "You can lead a horse to water, but you can't force him to drink. But you can put salt in his food to make him thirsty." Staff believe that youths need to occupy their time constructively and to improve their level of knowledge--both of which may happen in school. A third factor is that in a number of facilities, a youth's educational attendance and performance is reviewed when his release is considered. Also, going to school provides students with diversions from the institution's routines.

On the other hand, potential students for whom school attendance is not mandatory may be less inclined to enroll in classes because most facilities offer higher wages for work performed than for attending school, which is usually at the bottom of the wage scale.

Most schools we saw are separate from residential areas or cellblocks. The schools are not large, with many employing about 10 certified teachers who report to the principal. A typical program offers basic skills instruction (reading, language arts,

mathematics), adult basic education (ABE), and GED preparation.[3] Vocational courses are often an important part of the curriculum. Additional studies are sometimes offered in areas that include career education, job readiness, and values clarification.

The students vary in their previous school attendance and attainment. Most enter facilities with low achievement levels. Many have dropped out of school. As a result, much of the instruction is individualized to accommodate the students' different backgrounds.

Chapter 1 Program

In the sites we visited, the Chapter 1 program usually provides supplemental reading, language arts, and mathematics instruction. Some facilities have Chapter 1-funded programs in English as a second language, speech therapy, and hearing therapy. Class sizes are small, with perhaps five to ten students. Procedures for student selection are uniform. Students under 21 without a high school diploma are identified as eligible to receive Chapter 1 services. If a facility has more youths eligible than can be served by available staff, generally the students scoring lowest on achievement tests are placed in the Chapter 1 program.

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[3] Adult basic education is usually offered to students whose achievement is below the eighth grade level. Students may progress from ABE to GED preparation, which is provided for students without high school diplomas whose achievement is at the ninth grade level or above; classwork focuses on learning the subjects on the GED examination. Successful completion of the GED test results in a high school equivalency certificate.

Almost every program uses a pullout design and individualized instruction for Chapter 1. Students often are pulled from their scheduled language arts or math groups to receive Chapter 1 services. Some teachers use the results of previously administered tests in developing a student's instructional plan, while others use their own diagnostic methods.

Most classroom activity involves a study hall environment in which students work on their own. Interactions between the teacher and an individual student are frequent as the teacher coaches the student, reviews and grades the student's work, responds to questions, and makes assignments. The Chapter 1 classrooms we observed are much better equipped and have more instructional materials than the basic education classrooms. A number of Chapter 1 classes use computers and current reading materials. In several places the Chapter 1 classrooms are less crowded, quieter, cleaner, and more attractive than basic education classrooms.

Students served by Chapter 1 are clearly in need of compensatory education. Our numbers are not generalizable, but virtually all students in the Chapter 1 projects we visited have achievement scores at least two grades below grade level. A number of students are enthusiastic about attending school; others are less interested. Most praise their teachers, crediting the teachers with helping them to learn.

Every teacher we interviewed is certified by the state. A few institutions use aides to assist the Chapter 1 teachers. Without exception, the Chapter 1 teachers (and almost all basic

education teachers, too) are very committed to their decision to teach neglected or delinquent students. Many seem driven to overcome the bad experiences most of their students have had in their schooling, which include failure and dropping out. Time and again we heard the Chapter 1 teachers say that if students did not learn to read and write now, they never would--and the teachers are determined to give the students these survival skills.

Coordination between Chapter 1 and the basic education program is common. Teachers talk with each other, usually informally, to review students' needs and the skills being covered in classes.

Chapter 1 N or D projects conduct few comprehensive evaluations.[4] In some facilities staff seem to have given up on ever learning about the accomplishments of their Chapter 1 program. The lack of evaluation activity may come about because (1) facility staff believe other instructional activities are more important, (2) staff have not been trained to conduct evaluations, (3) no one asks to see evaluation outcomes, or (4) teachers may not be able to administer a posttest because they do not receive sufficient notice that a student will be transferred or released.[5] Further, when students leave the facility their records usually go with them and copies are not kept, meaning

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[4] Only one facility was able to provide an evaluation study. That facility has a part-time evaluator paid by Chapter 1.

[5] We should note that evaluations do not have to follow a traditional pre- and posttest design. For example, they could assess the number or types of skills students master.

that analysts cannot easily examine program accomplishments over time.

Education in the Correctional Setting

Without question, custody, not education, is the primary concern of correctional facilities. Nevertheless, education plays a significant role in juvenile delinquent and adult correctional facilities.

A student's educational performance may affect his or her release from the facility, especially in juvenile institutions.[6] Although specific arrangements are different, a teacher, and sometimes a Chapter 1 teacher, may be part of the treatment team composed mainly of therapists and counselors who are responsible for the youth during his or her stay. Teachers in some facilities regularly award points for the student's classroom behavior and progress; these points are added to those from other facility staff, such as therapists and security officers, and a student who obtains a certain number of points is scheduled for release. In other institutions, particularly adult facilities, the teaching staff is further removed from the rest of the staff.

The school may be a focal point for facility activities. The gymnasium is usually located in the school, along with crafts

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[6] Virginia recently announced a policy requiring that inmates must be able to read before they can be paroled (Donald P. Baker, "'No Read, No Release' Policy Ordered in Va. Prison Paroles," The Washington Post, February 11, 1986, pp. A1, A14). Kentucky recently instituted an adult literacy program in its prisons (Alice McDonald, "Kentucky Is Doing It, Too," Newsweek, March 31, 1986, p. 10).

classes and the facility newspaper. Teachers, while authority figures, are considered by inmates as different from the rest of the facility staff (and usually in a positive way).

Many people believe strongly in the value of the vocational programs offered in the school, particularly students who want to learn marketable skills they can use upon leaving the facility. Vocational programs may also supply workers for the institution's operation, such as food service. Teachers think that Chapter 1 performs an important service in helping students improve their reading and math abilities so they can participate in vocational programs.[7]

The Chapter 1 program was unanimously welcomed by facility administrators and principals. The provision of remedial services offers to fill a sorely felt gap in students' abilities. Basic education teachers, though expressing some envy of the well-stocked Chapter 1 classes, also welcomed the Chapter 1 program because it removes the lowest-achieving students from their classes for a period of time, enabling them to work with a smaller group of students whose needs are not as severe. They also noted that Chapter 1 services helped the program participants in their own basic education work.

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[7] While there is a linkage between Chapter 1 and vocational progams, it is informal. No facility we visited required school attendance, a high school diploma, or a GED for entry into vocational programs. Instead, vocational students are encouraged to enroll in basic education programs to enhance their reading and math skills, with the expectation that their vocational studies will benefit.

Support for the Chapter 1 program is evidenced in student attendance records. Facilities rarely pull students from Chapter 1 classes for punitive reasons (e.g., to place them in segregation or solitary confinement). Instead, most facility-imposed absences are due to appointments with a lawyer or a doctor. The Chapter 1 teachers we interviewed had few complaints regarding lost instructional time. Their criticisms about lost class time were due to the shifting of students within or out of the facility that precluded further Chapter 1 services.

Overall, teachers report that their work is easier in the correctional setting than in a public school classroom, largely because of the control they have over students. A disruptive student is simply removed from the class and sometimes barred from returning. On the other hand, teachers voiced some frustration over having to operate within the correctional system. A student may be transferred to another housing unit (with a different teacher), moved to a different facility, or released just as the student is beginning to achieve academic breakthroughs. If a student is prohibited from attending class for a while and then returns, teachers not only have to make up for the time lost but also must help the student to readjust to the school environment.

Facility and Program Descriptions

In this section we present information on the sites visited for this study. Each subsection below begins with a discussion

of the state-level administrative activities that shape facility-level operations. Following the state overview, we briefly describe each facility and its educational program with emphasis on Chapter 1 services. The facility descriptions contain statistical data on the Chapter 1 student population, based on a sample of up to 25 students at each facility.[8]

Colorado

The Chapter 1 program for neglected or delinquent youths is administered by the Chapter 1 office in the Colorado Department of Education. One SEA Chapter 1 staff member has served as the N or D coordinator for about nine years. The long time the coordinator has spent with the program reflects a conscious decision by SEA staff to increase the attention paid to N or D, in contrast to early years when the program "had been handled out of someone's bottom desk drawer." The coordinator is also responsible for the local N or D program and supervises basic Chapter 1 programs in numerous school districts.

The Colorado SEA coordinator has made special efforts to provide information and assistance to N or D facilities. A few years ago she planned and instituted an annual conference for

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[8] We had initially planned to include data on the previous year's Chapter 1 population as part of our information on the program's operations and achievements. Unfortunately, the facilities do not keep student records but send them with the youths when they leave the institutions. We compensated for this absence of data by reviewing the records of current students. In facilities with fewer than 25 Chapter 1 students we collected information on all students; in facilities with a larger Chapter 1 program we randomly sampled the records of 25 students.

state and local N or D programs because "there was a need to pull these people together to feel a little more a part of Chapter 1. It also gives them a chance to rub elbows and to feel a little less isolated." A recent conference covered several topics: helping youths make the transition from facilities to home communities; planning Chapter 1 programs in institutions; and, in small group sessions, job readiness workshops and creative activities in math and language arts.

In fiscal year 1986, Colorado received a total of $346,743 for the state-administered N or D program. Of this amount, the Department of Corrections uses $30,256 to operate a Chapter 1 program in one adult correctional facility. The funds pay for the salary of one teacher and related costs (e.g., instructional materials). The Department of Corrections has determined that other prisons in Colorado have too few Chapter 1-eligible students to warrant programs.

The Division of Youth Services (DYS), Department of Institutions, uses the remaining $316,487. All five juvenile delinquent facilities operated by DYS have Chapter 1 programs. The funds support six full-time equivalent (FTE) math and reading teachers, 1.5 FTE substitute teachers, one aide, one computer coordinator, a half-time visual therapist, a half-time audiologist, and three-tenths of a secretary's time. Chapter 1 also purchases instructional materials and equipment. DYS formerly had a Chapter 1 coordinator, paid for by federal funds, but now the program is administered by a state-funded curriculum coordinator who can oversee all educational matters.

The SEA N or D coordinator is responsible for several aspects of program administration, including application review and approval, answering questions, and monitoring. Contact between the SEA and DYS occurs about every other month. Contact between the SEA and the Department of Corrections is less frequent, and usually involves the SEA coordinator and staff at the one adult prison. A typical contact is a telephone call from the state applicant agency concerning allowable uses of funds or application amendments. Because most SAA and facility staff have long tenures, they are very familiar with the program. One DYS official noted that "it's almost as if we're a part of the department of education."

Most responsibilities for program design and administration are vested in DYS and in the sole adult correctional facility participating in Chapter 1. These organizations choose locations for programs, delimit program features, and oversee basic operations, all subject to the approval of the SEA.

SEA onsite visits are scheduled for about once every three years, but some facilities located far from the SEA have not been monitored in recent years. Monitoring visits were more frequent before the decrease in Chapter 1 administrative funds, which caused a decrease in SEA staff. The SEA coordinator occasionally stops by institutions near Denver to touch base with teachers. All DYS facilities are regularly reviewed as part of the state's accountability and accreditation process. In addition, the DYS educational director often "walks through the facilities, takes a look, and talks with the principal."

All Colorado facilities have other academic and vocational instruction funded primarily with state monies, although ironically some past history with the Title I program limits the level of these funds. Over a decade ago, the facilities used Title I in ways contrary to the regulations, such as supplanting the educational programs. Because they were misusing these funds, the applicant agencies failed to ask the state for appropriations sufficient to cover the basic education program. After a federal monitoring visit, the facilities corrected their inappropriate use of Title I funds and would have liked to turn to the state for higher funding levels. In the meantime, however, the state legislature had limited increases in state agency appropriations to 7 percent. Thus the programs remain fiscally strapped today because of the 7 percent cap.

Buena Vista Correctional Facility. The Buena Vista Correctional Facility (BVCF) is a medium security prison for men located in the Rocky Mountains. At the time of our visit, the prison was over its capacity of 725 with 733 inmates in residence. The average age of inmates is 26, and the average educational level is tenth grade. The major reasons inmates are committed to Buena Vista are, in order, burglary, robbery, assault, and sexual assault.

During our visit 91 inmates were under the age of 21. Of these youths, 45 percent are white, 31 percent are Hispanic, 20 percent black, 3 percent American Indian, and 1 percent Asian-American. They will probably stay at BVCF for 16 months on average.

Education is one of several activities available for inmates at Buena Vista. The facility superintendent (i.e., the warden) explained: "We have chosen to control inmates here with programmed activities. This occupies their time constructively and enables them to be better equipped when they leave." When an inmate is placed at Buena Vista a case manager reviews his file and suggests possible activities. While an inmate can choose among activities, the case manager can strongly encourage specific programs. Further, an inmate's refusal to participate can result in his "good time" being taken away. Wages for work, paid by the state, range from 25 cents to $2.00 per day. Students earn 7 cents per hour of class.

The education program at BVCF is important to the facility. One official gave as an example that when the inmate population rose significantly and the superintendent was given additional funds, he chose to increase the number of teachers rather than guards. At present the school has one Chapter 1 teacher, eight academic teachers, and ten vocational teachers.

The school is located in a building separate from the cellblocks. In 1984-85, the education budget (excluding vocational education) was $258,854, of which about $35,000 came from Chapter 1. Classes are offered in adult basic education, GED preparation, marriage and family, individual psychology, life skills, and social responsibilities. A pre-release program is provided for inmates who will leave the facility within 60 days. Postsecondary classes are offered that lead toward an accounting diploma. Vocational classes, held in another building, include

appliance repair, automobile body repair, barbering, cabinet-making, commercial art, machine shop, meatcutting, printing, small engine repair, and welding. Although vocational students do not have to hold high school diplomas or GEDs, some classes require certain mathematics skills.

Students receive Chapter 1 services if they are under 21, have no high school diploma, and score below the eighth grade level on the California Achievement Test. At present, all qualifying inmates are being served by Chapter 1. At the time of our visit there were 26 Chapter 1 students. They averaged a 6.2 grade level achievement at their entry into Buena Vista. One teacher has all the Chapter 1 students, who attend his class for 90 minutes daily, five days per week. The Chapter 1 students show marked gains in their academic achievement: on average, grade placements increase monthly .29 in reading, .51 in mathematics, and .30 in language arts.

The Chapter 1 classroom is notably larger and better equipped than the others. Students work at individual carrels, completing assignments the teacher has issued. The Chapter 1 teacher has developed a computerized instructional management system that identifies specific materials, worksheets, books, and problems for students to work through, based on their individual needs as determined by diagnostic tests. Assignments are matched to supplement the ABE or GED preparation program that students are taking. Students receive weekly contract sheets and are able to monitor their own progress.

Students generally receive Chapter 1 services for three months, though the teacher would prefer to have them for five to six months. The time is limited because of overcrowding at the prison: Chapter 1 ceases for inmates who perform well and are moved out of cellblocks to modular units or offered off-grounds work.[9]

The Chapter 1 teacher is totally committed to helping his students achieve as much as possible. He has been with the program for three years, having previously been a substitute teacher and hardware store salesman. He learned of the position while enrolled in recertification classes. When he came to Buena Vista, he trained in Chapter 1 by observing the former teacher and learning about the guidelines from him. The teacher said that he feels "isolated from other teachers, isolated from the public" and would like to take some specialized workshops (e.g., on computers, stress management, or child abuse) that are not available nearby.

Most students are extremely enthusiastic about their Chapter 1 classes. They credit the teacher with providing encouragement and support. They also cited some of the creative approaches the teacher has developed to help them learn. For example, the Chapter 1 students recently put on a performance of The Fall of the

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[9] Prison-wide, 58 to 70 people are moved weekly, sometimes with only 2 hours notice to supervisory staff. The high mobility is caused by overcrowding in Colorado jails, which results in overcrowding in state prisons because inmates are shifted there as quickly as possible to reduce jail rosters. One Buena Vista official complained that "we may have a kid for two weeks, but then he gets shipped out when a bed becomes available at a youth camp."

House of Usher, using the language arts, reading, and verbal expression skills they have learned (the Chapter 1 teacher participates in an amateur theater group). During our visit a student volunteered to read a story to us to demonstrate his newly learned reading skills. He then discussed his attitudes toward school:

> I love coming to school. The teachers, especially [the Chapter 1 teacher] really want to help as much as they can. I am looking forward to getting as much education as possible. Before I came here I had been out of school for five years. Now I'm getting ready for the GED. I will take advantage of all the education that's here.

Another student expressed his opinions:

> This class [Chapter 1] is more organized than my other classes. I have my own folder and follow instructions for my weekly assignments. Before I came here, in my high school attendance was taken in only one of my classes, so that was the only one I went to for two years. I had been at Buena Vista before, but was reclassified to go elsewhere. When I came back I decided to really work on my GED. Last night I was asked if I wanted to move to the modulars [less secure residential facilities]. I'll go because you get to wear street clothes and have more freedom. If I don't like it out there I'll act up, get a report, and then come back here so I can take this class again.

Lookout Mountain School. Lookout Mountain is a DYS medium security facility for young men located in Golden, Colorado, outside Denver. Although Lookout Mountain has a capacity of 160 youths, about 175 are currently in residence. One official described the facility as "the last stop for kids to get themselves together before they end up in more trouble and go to the big house." The average age of residents is about 17; most will be at Lookout Mountain for about 13 months. Lookout Mountain is

treatment oriented. The program provides a continuum of services to respond to different needs.

Residents are housed in seven units, each of which has a treatment team consisting of a coordinator, two group leaders, three or four case workers, and two academic teachers. Education is described as the largest structured program at Lookout Mountain. The education budget this year totals $719,267, of which $97,659 is from Chapter 1. In addition to the academic teachers, the educational program employs five vocational teachers and a librarian. Chapter 1 funds two teachers and one aide; Chapter 1 services are also provided by a part-time visual therapist and a part-time audiologist (DYS staff funded by Chapter 1). A principal heads the education program. Lookout Mountain is an accredited school.

A supervisor noted that school "attendance is not voluntary, but learning is." Upon arrival at Lookout Mountain, a resident is assessed and an individualized education plan is developed. Students are typically well below grade level. Very few will return to a public school setting upon release because of their age (past compulsory attendance) or because they would be placed in a grade far below their age level. Thus, many students are working toward their GED, and each year about half of the residents obtain the GED.

A youth coming into Lookout Mountain is initially placed in a full day academic program, consisting of 5-1/2 hours of instruction. When he has shown progress, he is given the option of enrolling in vocational courses. Choices are automotive services, food services, business office education, construction

trades, and a course all students must eventually take--career awareness, which includes a videotaped practice interview.

Students who score below the 40th percentile on an achievement test and are recommended by teachers for special services are selected for Chapter 1. Low-scoring students are sometimes not recommended because they will be at the facility for a short time or they have behavior problems. Lookout Mountain does not have sufficient resources to serve all students who meet the selection criteria.

Chapter 1 operates reading and math labs equipped with computers, for which students are pulled out of their regular classes. The teachers are devoted to helping their students learn. One said, "We work hard to find something they're good at. It's important to let them know there is something they can do and do well. But sometimes it's so hard. Some can't read as well as kindergarten students; others can't recognize the symbol that indicates cents." A teacher was proud that students improve their abilities: "It is not a quantum leap, but they do learn."

Of the Chapter 1 students in our sample, more than 50 percent are Hispanic, about 25 percent are white, and 16 percent are black. Their achievement scores at the time of their entry into Lookout Mountain are low: the average reading score is at the 22nd percentile and the average math score is at the ninth percentile. The average age is 16.8, ranging between 14 and 19. Forty percent have previously been committed to a juvenile delinquent facility. On average, the Chapter 1 student at the time of our visit had participated in Chapter 1 for 125 days.

Students spoke of their Chapter 1 teachers with enthusiasm. One said that math has now become his favorite subject. Another said, "I'm making more progress here than I ever did before in my whole life. I feel comfortable in here [Chapter 1 reading class]. Everyone is at the same level. So people look down on you out there. But here, I don't feel like a dummy."

Coordination with the general education program is informal. Teachers may talk about particular students and share ideas about educational approaches. The general fund teachers were somewhat envious of the Chapter 1 teachers, who they said had better equipment, more materials, and more planning time.

Contact between Lookout Mountain and DYS is frequent. SEA staff conduct accreditation visits every five years. Other interactions with the SEA are usually by telephone. Some Chapter 1 monitoring visits have been conducted, but Lookout Mountain staff could not remember the date of the last visit. The Chapter 1 teachers have attended conferences sponsored by the SEA. They said that professional development opportunities are available, including college courses and specialized workshops. One said, "It's like a cafeteria. You have to go look to know these courses are out there. If you shop around you can find appropriate help."

Mount View School. Mount View School (MVS), located in suburban Denver, is a juvenile delinquent facility under the jurisdiction of Colorado's Division of Youth Services. State staff report that youths who have committed more severe crimes, or who have more severe emotional problems are sent to MVS from

the diagnostic unit. It houses about 72 males and females between the ages of 13 and 20, with most being 15-1/2 to 16 years old. The resident population is divided into three cottages: one is for girls, one is for boys classified as having emotional disturbances, and one is for boys who are a little more mature.[10] The average length of stay is about nine months for the more mature juveniles and about eleven months for the others.

Basic administrative operations and services are structured around cottages. Each cottage (of about 24 youths) is served by nine staff--a treatment team coordinator, two counselors, two teachers, and four case workers. Mount View is scheduled to close in about one year as part of Colorado's overhaul in the state's correctional system.

The director of Mount View explained the philosophy underlying the treatment program at the facility: "It is a learning experience for youths about how to deal with their environment." Education is a major part of the program at Mount View. For 1985-86, the school's budget is $263,690, of which $56,714 comes from Chapter 1. All youths at MVS are required to attend school. A typical day for a resident involves eating breakfast, attending school from 8:30 until 11:30 and 12:30 to 2:30, returning to the cottage for counseling or other treatment, eating dinner, and then having some free time (e.g., for sports or recreation).

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[10] In addition, a closed adolescent treatment center is located on the same grounds. The center houses 27 youths who have committed extreme, violent crimes. It has its own staff of 27 people (including teachers) and is totally separate from regular Mount View Operations. Programs at the center are not discussed in this case report.

Students move from their cottages to a separate building for school. The school is accredited, and high school credit is awarded for courses completed.[11] Staff described the student population as "undereducated. They are generally three to four grades below their age level. Some are brain damaged and need special, special help. Some are embarrassed and act out because they don't know how to read, but they want to learn. Most have been in and out of school since the fourth grade." The school's principal estimated that 60 percent of the youths who leave Mount View return to public schools for at least a while, but "most want to come back here."

The school operates as an alternative educational program with individualized instruction and student contracts stating objectives to be achieved. Classes are offered in basic subjects such as English, math, and social sciences. Some discussions have been held about transporting students to Colorado's Lookout Mountain juvenile facility to receive vocational education, but none is currently offered at MVS except for a cooperative work program. Physical education classes and recreational time are scheduled because, according to an MVS official, "it helps show kids how to spend their spare time." The school has six general fund teachers, one vocational coordinator, and 1.5 Chapter 1 teachers.

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[11] The principal evaluates each student's educational program and progress as he or she is leaving the facility and determines the credit earned. Public schools are required by the state code to accept the credits listed on a transcript the student receives upon release.

Students are selected for Chapter 1 if they score below the 40th percentile on an achievement test or if they are going to benefit from Chapter 1 services (all residents enter MVS without high school diplomas or GEDs). At present, all students meeting Mount View's selection criteria are being served, amounting to about 90 percent of the population. In our sample of 25 Chapter 1 students, about 80 percent are male and 20 percent female. Some 20 percent have previously been committed to an institution. Their average age is 15.8 years, with a range of 13 to 19. At entry into Mount View, their average reading achievement was at the 16.4 percentile (ranging from the first to 57th percentile), and their average math achievement was at the 6.1 percentile (ranging from 1 to 64). On average, the Chapter 1 student had received 41.4 days of Chapter 1 services. A teacher noted, "The length of time spent in the program is important. There are few success stories among students with shorter stays."

Chapter 1 funds one full-time math teacher and one half-time reading teacher at Mount View. Students come to Chapter 1 for 45 minutes every weekday. The program operates on a pullout design, with the students scheduled into Chapter 1 as part of their regular school day. Chapter 1 teachers use individualized instruction. To manage classroom behavior, one of the teachers has developed a point system whereby students can earn "free days" to work on whatever they choose to do rather than on teacher assignments. Although the teachers are supposed to be involved with the cottage-level treatment team, one said, "We

really aren't a part of that. It seems the teachers are being moved away from the team concept."

Coordination between Chapter 1 and the basic education program is informal and limited. Test scores may be shared, and occasionally teachers will discuss a particular student's needs. Chapter 1 teachers noted that they did not have much contact with their counterparts in other facilities. Apparently DYS used to have Chapter 1 teachers meet together annually, but these meetings have not been called for some time. When questioned, MVS teachers said they were aware of the SEA-sponsored meetings for N or D facilities but chose not to attend. Mount View staff report that the SEA visits about once a year; last year federal staff came to the facility during a state program review.

Contact between DYS and Mount View staff is more frequent, though not always positive. At present, disagreements exist about the location of Chapter 1 computers: DYS wants them in a central lab location, but teachers want them in classrooms. Some complaints have been voiced about the lack of assistance from DYS staff.

Some students at Mount View were not enthusiastic about their Chapter 1 experiences. One said that the only good thing about coming to the Chapter 1 class was that it gave him a chance to move around. Others seemed to view their educational requirements as part of their punishment.

New York

The Chapter 1 neglected or delinquent program in New York is administered through the SEA's Office for the Education of Children with Handicapping Conditions (OECHC). N or D is the only part of Chapter 1 that is not administered by the SEA's Chapter 1 office. The New York Education Department determined about six years ago that administrative operations would be more efficient if all programs serving youths in state residential facilities--including N or D--were under the jurisdiction of one office, OECHC. Two SEA staff devote all of their time to administering N or D.

Two state applicant agencies are involved with the neglected or delinquent program in New York: the Division for Youth (DFY) and the Department of Corrections (DOC). This year, DFY is receiving $1,488,318 from Chapter 1.[12] The division uses a portion of these funds to pay for a full-time Chapter 1 coordinator and two curriculum content coordinators (one reading, one math). DFY operates 10 secure centers, 8 limited secure centers, and 12 rural residential centers, most of which are located in upstate areas. Residents in secure centers generally have committed serious crimes and are serving long sentences; those in facilities with lower security ratings usually are serving shorter terms for property crimes. DFY also operates youth development centers, urban homes, and other community-based centers,

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[12] DFY facilities also receive funds under PL 94-142, the Education for All Handicapped Children Act.

most of which are located in New York City and other large urban areas.

Chapter 1 is offered primarily in the upstate facilities. Some urban centers had Title I programs until the neglected or delinquent program experienced cuts a few years ago. DFY staff then decided to remove Title I from these urban centers because they determined that upstate facilities, with fewer community resources to draw on, had greater need for compensatory education services. DFY Chapter 1 staff visit each facility at least annually to monitor the program and to provide technical assistance.

The Department of Corrections is receiving $2,660,655 from Chapter 1 this year. DOC operates 50 prisons, 17 of which offer Chapter 1. While some of the other 33 facilities have Chapter 1 eligible inmates, DOC decided to concentrate Chapter 1 services in those prisons with high numbers of eligible students. As a result an estimated 1,200 inmates in DOC facilities are eligible for Chapter 1 but are not served. Chapter 1 supports six administrative staff in DOC: a coordinator, a reading coordinator, a math coordinator, a coordinator of English as a second language (ESL), a research specialist, and a psychometrist.

SEA involvement in N or D centers on reviewing project applications, and SEA staff provide some technical assistance to the state applicant agencies on topics such as calculating average daily attendance figures. The SEA does not have frequent contact with the SAAs or facilities, except when facility staff attend annual meetings with other Chapter 1 staff to learn about

current application procedures. Overall, program decisions are left to the state applicant agencies and their constituent facilities.

Recently, SEA monitoring of the neglected or delinquent program has been a problem in New York. Because the SEA had no interagency agreements with DFY or DOC, staff stopped monitoring the program. Last year ED cited New York for failing to monitor. As an interim measure, the neglected or delinquent supervisor and his associate in OECHC have begun monitoring this year. When interagency agreements are signed with the two SAAs, staff in SEA regional offices will begin monitoring the program.

Brentwood Residential Center. Brentwood is a DFY 20-bed rural residential treatment program located in Suffolk County, Long Island. Seventeen youths (15 black, two Hispanic) were in residence at the time of our visit. The center serves boys between the ages of 14 and 17 who have been judged as delinquent by the family court system. Most residents are from New York City and have committed property crimes such as car theft. The average stay is seven to nine months.

Brentwood has two main buildings: one houses offices, recreation areas, and dormitory rooms; the other contains three school rooms for the educational program. Located on 40 acres, Brentwood has a track, softball field, and basketball courts (but no gymnasium). Brentwood has a staff of 22, including a director and assistant director, an educational coordinator, three teachers, and 14 counselors. Staff work in shifts; no staff member lives on the grounds.

The director told us that "education is one of the most critical components of the program. Being a member of a minority group myself, I know how important education is. . . . I expect to see some educational progress. Many of these youths have not had formal education since the third grade. This is the first time they have been back in a 'concerned atmosphere.'" The director solicits citizen and parent involvement. She has formed a citizen advisory board, encourages parents to attend a conference every 90 days, and also urges them to come by during Sunday visiting hours.

The education budget totals $193,315, of which $38,663 is from Chapter 1. Brentwood has two state-funded teachers and one Chapter 1 teacher who provides reading instruction. A minister from the community teaches a values clarification course. Residents also receive life skills training once a week, group counseling for two hours per week, and individual counseling as needed. All residents are eligible for and served by Chapter 1. Brentwood has some vocational training including shops for carpentry, wood work, and auto mechanics. During the summer Suffolk County employs residents to perform maintenance on the facility grounds, for which they are paid minimum wage. Last summer, for example, the youths built an obstacle course.

When a resident arrives, he is tested and placed in a group according to his academic ability. He may be moved to another group if behavior problems develop. Testing is also used to monitor student progress.

All classes are small, permitting individualized instruction. Much of the academic work is geared to the New York

Regents Competency Test, which is given twice a year. From September until June classes meet daily from 9:00 to 12:00 and 1:00 to 3:00. There is a three hour per day educational program in the summer for reading, math, and language arts. Although the Chapter 1 teacher provides instruction in this program, it is not paid for with Chapter 1 funds.

The Chapter 1 teacher offers reading in a lab setting. During the three 45-minute lab periods daily, the residents rotate through Chapter 1 reading. The Chapter 1 teacher uses a diagnostic test of vocabulary and comprehension to tailor an individual program concentrating on three or four areas for each student. Classes are grouped according to both ability and behavior, so there is usually a mix of student abilities in each class. On average, students are at the fourth grade level, which is five or six grades below their age group.

Because classes are small (about five students), the teacher gets students working on their assignments and then works individually with each student. She expects between one and 1.5 years growth during a six month period, which is usually achieved "because here they're sitting down and working." For example, one of her students went from reading at the 3.2 grade level to the 4.8 level. "He was elated because he could see growth." Selected student characteristics are presented below:

Characteristic	Average	Range
Age	15.8 years	15-17 years
Anticipated length of stay	8 months	7-9 months
Previous grade level attained	8.5	7-10
# of days Chapter 1 services received	79.7	25-115

Regarding technical assistance, the director told us that she has "as much help as I need from DFY staff." One activity she finds particularly useful is quarterly meetings with all other directors of DFY facilities. Part of the inservice for teachers involves visits to other facilities. The Chapter 1 teacher meets with other DFY Chapter 1 teachers once each year "to share ideas and go through new aspects of the program."

Coordination between Chapter 1 and the state-funded program is good because the facility is so small that the three teachers can informally discuss each student's needs and problems. In addition, because Chapter 1 serves all students, compensatory education becomes an integral part of each student's overall program. Finally, because turnover is relatively low the state-funded teachers and the Chapter 1 teacher have come to know each other's teaching styles and philosophies.

Brookwood Center. Brookwood Center is one of seven maximum security facilities administered by the New York Division for Youth. It is located in Claverack, New York, and serves juvenile male offenders between ages 14 and 21, with most residents coming from the Hudson Valley and greater New York City. The facility has a capacity of 56; 50 inmates were in residence during our visit. The facility director characterized Brookwood as "the end of the line for juvenile delinquent kids. There's a network of other programs which serve juveniles, but when a kid gets into heavier delinquency patterns they come into the state system."

Brookwood is divided into four residential wings. Staff in a wing include a counselor and child care workers who make up a

youth service team, responsible for inmate management. Daily group counseling sessions are held in each wing. Teachers are put on a rotating schedule to participate in wing meetings. A juvenile's educational performance is an important component in determining his progress.

Brookwood has a full, accredited educational program and requires that every inmate participate for the entire day. Once a student is admitted to Brookwood, he is immediately placed in school, and diagnostic testing follows. The education program is conducted year round, aside from regularly scheduled breaks when the juveniles "sweat it out" because, according to the principal, "they miss being in school." Educational levels of inmates range from students who cannot read to those with 37 hours of college credit.

The education budget this year totals $577,384, of which $72,173 is from Chapter 1. The curriculum consists of a full high school program. Classes are also offered in vocational education, work experience, and arts and crafts. A recreational program is viewed as an integral part of the inmates' daily lives. Combining participation in sports with lessons in officiating games, it is meant to develop inmates' interests in recreational activities and to provide skills they can use when released.

Brookwood administers the Regents Competency Test, which is required for high school graduation in New York. The school has four general education teachers, one special education instructor, and two Chapter 1 teachers. The vocational program has four instructors. Teachers are assisted by aides.

At present, 24 students receive Chapter 1 reading and math instruction. Students are placed in Chapter 1 when they score two years below grade level on an achievement test.

Chapter 1 funds one reading teacher and one math teacher. The reading teacher is assigned a state-funded aide. The reading teacher has devised a curriculum that combines student interests with a reading and writing program. Students read a story about someone they admire and write a paper based on their impressions. When questioned about the course, the students said that they liked Chapter 1 better than any other class because of the individual help and the interesting subject matter.

Teachers sense a great deal of support from facility officials for Chapter 1. The DYS curriculum coordinators provide onsite technical assistance. DYS also offers inservice programs that the Chapter 1 teachers attend. No facility staff could recall any contact with the SEA.

Coxsackie Correctional Facility. Located near the Hudson River between Albany and New York City, Coxsackie is a maximum security facility for men 16 and older. About 75 percent of the 950 inmates are 21 or younger. Most inmates are serving long sentences for violent crimes, and 17 percent are serving sentences for murder or manslaughter. The facility is 50 years old and was originally opened as a vocational training school. Over the years, its security level has been raised. After a riot in the 1970s, it became a maximum security facility.

Although most inmates are tested at an intake facility before transferring to Coxsackie, they are usually retested and

reassessed upon arrival at the facility. The chief aim of this assessment is to determine educational needs. A program committee decides on placement for new inmates, using information from the intake facility, evaluations done at Coxsackie, and medical reports. The committee considers the inmate's needs and his academic and vocational preferences,[13] but placement decisions are necessarily tied to program vacancies. Programs are individualized because, as one prison administrator told us, "Prison schools don't operate like public schools. We don't have students from September to June. Our enrollment changes every day."

Coxsackie's accredited school offers extensive academic and vocational programs in a separate wing. "Education is the core of this institution," one administrator told us. "Other facilities may have only 30 percent of their inmates in educational programs compared to 60 percent here." The facility employs 20 state-funded academic teachers, 20 state-funded vocational education teachers, and eight Chapter 1 teachers (two math, two reading, two ESL, one shop math, and one speech and hearing specialist). Students earn wages of 95 cents to $1.05 daily. Inmates who are not in educational programs can be employed in maintenance jobs for which they are paid 60 cents per day. Some inmates work as teachers' aides and receive $1.20 daily.

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[13] Inmates usually are not placed in a vocational shop program until they have demonstrated sufficient academic achievement to handle the program's reading and math requirements.

The basic program for an inmate is one-half day of academic instruction and one-half day of vocational education. Classes are offered in ESL, ABE, and GED preparation (the GED examination is given at Coxsackie every two months in both English and Spanish). Eighteen vocational shops are available for those who qualify. A two-year college program, taught by professors from a nearby community college, is available for qualified inmates.

Student selection for Chapter 1 is based on standardized test scores--below the fifth grade in reading and below grade 6.5 in math--and teacher recommendations. At present, all inmates meeting these criteria are being served. The Chapter 1 program at Coxsackie offers supplemental instruction in reading, math, and ESL. The pupil-to-teacher ratio is lower in Chapter 1 than in the state classes. Chapter 1 classes have ten students, two teachers, and an inmate aide, whereas ABE classes have about eleven students to one teacher. The Chapter 1-funded ESL program for Spanish-speaking inmates is also staffed by two teachers, assisted by an aide who received his associate's degree at Coxsackie.

Chapter 1 uses a pullout design. An inmate in both Chapter 1 reading and math would attend Chapter 1 reading on Monday, Wednesday, and Friday and Chapter 1 math on Tuesday and Thursday. He would also attend state-funded classes and might receive special education services and counseling. Selected student characteristics from a sample of 25 are presented below:

Characteristic	Average	Range
Grade level attained	8.3	5-11
Tested achievement level	3.5 grade	0-9 grade
Length of time in weeks since entry	16.1	1-68
# days Chapter 1 received	35.9	2-204
# hours of Chapter 1 weekly	7.4	3-12
# hours other education weekly	22.6	18-27

The Chapter 1 program uses the Amidon reading program and the Fountain Valley math program, which the New York Department of Corrections chose for all Chapter 1 programs. Each student is diagnosed when he enters the Chapter 1 program and the Test of Adult Basic Education is given every three months to assess comprehension and vocabulary. Instruction is individualized: each student has a work folder with assignments based on his educational needs as determined by diagnostic tests. The folder also contains a record of objectives that he has mastered. The goal is to master four objectives during each quarter.

Administrators and Chapter 1 staff told us that the Department of Corrections is very responsive to their needs. Staff visit once a month. DOC staff monitor the Chapter 1 program during technical assistance visits. They also help with recruiting and orienting new teachers. Each year Chapter 1 teachers attend an inservice session in their content area. All Chapter 1 teachers in Department of Corrections facilities also meet each spring for inservice on common areas. For example, a recent session dealt with serving the psychologically disturbed inmate.

Chapter 1 teachers told us that the program is very important for the overall education of inmates. They outlined the following program strengths:

- Smaller class sizes allow for individualized attention.
- Chapter 1 resources are sufficient to purchase needed equipment and supplies.
- Chapter 1 has contributed to higher test scores (the Chapter 1 reading teachers had compiled test scores for 10 years, which showed an average pretest grade level of 4.0 and an average posttest of 4.6).
- Without Chapter 1 the state classrooms would be overcrowded, which would lead to more discipline problems and more dropouts because of the inability to provide individualized instruction.

Coordination between Chapter 1 and the state-funded classes is good. Chapter 1 teachers regularly consult with state teachers regarding the needs of individual students and problems with particular students. An ABE teacher told us that "if I have a particular problem with a student, I will consult with his Chapter 1 teacher." She also noted that she can concentrate more on reading skills because students receive supplementary services in math from Chapter 1.

Tennessee

The Chapter 1 program for neglected or delinquent youths in Tennessee is administered by the Chapter 1 office in the Department of Education. N or D matters account for about 5 percent of the Chapter 1 coordinator's time and 20 percent of a supervisor's time. This supervisor, who has only recently been given the N or D program to administer, handles the Chapter 1 programs in the central region of Tennessee, where most of the state N or D programs are located.

In fiscal year 1986, Tennessee received a total of $783,666 for state-run N or D programs. These funds support Chapter 1 programs in two adult correctional facilities, four youth facilities, and one school for neglected youths.

The Department of Correction in Tennessee administers facilities for both youths and adults. By a special act of the legislature, the Department of Correction has been designated as a special school district, which means that the commissioner of the department is also a school superintendent. In fiscal year 1986, the Department of Correction is receiving a total of $625,821 from Chapter 1, of which $547,455 is designated for juvenile correctional facilities and $78,366 for adult prisons.

The Department of Correction decides where classes will be located, with SEA staff reviewing and approving the plans specified in annual applications. Chapter 1 programs are located in all youth correctional facilities in the state. They are also found in the two adult correctional facilities with enough eligible inmates to warrant having a program.

Three staff in the Department of Correction supervise the education program: a director, an adult coordinator, and a youth coordinator. Half of the youth coordinator's salary is paid from Chapter 1. The number of staff and their areas of responsibility have changed recently. Previously, only one person in the Department of Correction administered the education program.

At present, the correctional system in Tennessee is under a federal court order to decrease prison populations and bring them into line with capacity limits. The legislature, in a special

session, just appropriated several million dollars for new correctional facilities and programs.

Tennessee has one facility for neglected youths, the Tennessee Preparatory School, which received $157,845 in fiscal year 1986 from Chapter 1. As one of four "special schools" administered by the SEA (the others are mainly for handicapped students), the neglected facility is under direct SEA jurisdiction.

Tennessee Preparatory School. The Tennessee Preparatory School (TPS), located in Nashville, has just celebrated its 100th anniversary. Students come to TPS from a court of jurisdiction as "neglected dependents." Some are runaways, a few are orphaned, some have committed status offenses, and some are removed from their homes at parents' requests. TPS provides housing, education, counseling, meals, and clothing. A TPS official said, "What we have are the problem children from local school systems. Most are throwaway children. Custody has been transferred from the home to us acting as parents. We hope that the children who come here to us end up avoiding problems with the law. Judges have heard that this is where these children can get what they need."

TPS is administered by the Tennessee Department of Education and is located adjacent to some of the SEA's offices. The proximity to the SEA may explain the frequency of contact with the Chapter 1 office, which averages about twice a month. A staff member commented, "We talk about whatever's happening. It may be about the application, it may be about the program. When the

federal staff monitored us, [the SEA's Chapter 1 office] helped us prepare for that by conducting a premonitoring visit." TPS staff attend an annual Chapter 1 meeting sponsored by the SEA that covers matters such as changes in the application format, regulations, and nonregulatory guidance.

TPS has about 265 employees. In 1984-85 TPS had expenditures of $6,855,208, of which $6,223,950 came from state appropriations. Federal revenues include the following:

Chapter 1	$175,703
Chapter 2	1,080
School breakfast	63,809
School lunch	103,311
Vocational education	2,183
Title XX	266,867

Students come to TPS throughout the school year. State staff have tried to encourage judges to assign youths to TPS until at least the end of a semester. The average length of stay is nine months. At the time of our visit, 318 students were in residence.

A student new to TPS has a "staffing" within 30 days of arrival, in which a treatment plan is developed based on reports from teachers, psychologists, guidance counselors, case workers, and other staff. If TPS staff believe that a student cannot be handled by the facility programs, the student can be sent back to the court for reassignment.

By definition, all students at TPS are eligible for Chapter 1 services because they are under 21 and without a high school diploma. Students selected for Chapter 1 must score below the 40th percentile on an achievement test and have tailed the Tennessee Proficiency Test or a similar criterion referenced

test. TPS is able to serve just about all middle school students who meet these criteria, numbering about 60 at the time of our visit; about 100 high school students are served, which represents about 75 percent of the youths who meet the selection criteria. (Because of high turnover among TPS students, substantially higher numbers of youths receive Chapter 1 services during a given year.) A school official offered three reasons for not serving all high school students. In order of importance, they are: (1) students who are placed in the program early in the year are not removed to serve more educationally needy students as they arrive at TPS; (2) students do not earn credit for Chapter 1 classes, so those nearing graduation who need credits are not placed in Chapter 1; and (3) there is not enough space for more students.

Chapter 1 pays for eight TPS staff. The middle school and the high school each have one reading teacher, one math teacher, and two aides. In the middle school, Chapter 1 students receive 45 minutes of Chapter 1 math and reading instruction daily in addition to their regular math and reading classes. In the high school, Chapter 1 is provided as a class period in addition to the state required courses; students attend for 55 minutes daily. Chapter 1 class sizes are limited to 10 students, while general education classes may go up to 35 students.

In our sample of Chapter 1 students from the high school, the average age is 16. The typical student had reached the middle of the ninth grade before coming to TPS, but the average achievement levels are grade 5.6 in reading (with a range from

2.3 to 8.3) and 6.0 in math (ranging from 2.6 to 8.6). Of the students new to TPS this year, most had been in Chapter 1 for about 15 weeks. Students who had been at TPS before had received a total of about 26 weeks of Chapter 1 services.

Middle school Chapter 1 students range in age from 12 to 16, with an average age of 14.6 years. On average, they had been in the seventh grade before entering TPS. Achievement scores are low: during this study, their average reading ability was at the 4.5 grade level (ranging from 2.4 to 5.8) and their average math score was at the 5.6 grade level (ranging from 3.6 to 7.9).

Coordination with the general education program is aided by reports teachers complete every six weeks that indicate the skills students have achieved and their functioning levels. Forms are distributed to Chapter 1 and general program teachers. Otherwise, coordination is informal as Chapter 1 teachers check occasionally with other teachers to talk about individual student needs.

Chapter 1 teachers reported a high amount of inservice training and attendance at conferences. They enjoy these opportunities to meet and talk with their counterparts. A TPS principal described the teaching staff as "better, more dedicated. The regular run of the mill teacher won't survive here. Our teachers have to be flexible--plus considerate, fair, and forgiving."

Tennessee Prison for Women. The Tennessee Prison for Women, located in suburban Nashville, is the only maximum security prison for women in Tennessee. On the date of our visit, the

prison housed 227 inmates. The average length of stay for all prisoners is 43.1 months. The warden, who has held her position for about one year, has an undergraduate degree in elementary and secondary education. The correctional principal, who has also had her position for about one year, is a former school superintendent. All staff with whom we spoke seemed to be very committed to the value of the educational programs in the prison.

Education programs are numerous and important at this facility. A staff member estimated that well over one-third of the prison population was involved in them in some way. The school has a principal and six teachers; it is located in a separate building. Many of the prison's daily activities revolve around the school, including the recreational program (the school has a gymnasium), a prisoner newspaper, and cultural activities such as plays and school graduation for those who pass the GED examination. Classes in adult basic education and GED preparation are offered, as are courses in cosmetology, culinary arts, business education, and building maintenance. Collegiate courses in English and sociology are provided as well.

Upon their arrival at the prison, inmates go through three to four weeks of testing. Test results and the inmate's preferences are used by a classification committee, which assigns inmates to programs. The programs may include school or work activities (e.g., data processing and industrial plant operations). Inmates are grouped into three categories--unskilled, semi-skilled, and skilled--that are derived from the Dictionary of Occupational Titles. These classifications, plus three levels

of tenure, determine the amount of wages a prisoner earns during her stay at the prison. Wages range between $20 and $50 a month. All students are classified as unskilled workers.

All prisoners under 21 without a high school diploma or GED are placed in the Chapter 1 program. If they test below the ninth grade level, they are placed in ABE programs; these students receive, per week, 10 hours of ABE instruction and 20 hours of Chaper 1. Students who test above the ninth grade level are placed in GED preparation programs; they receive 15 hours of GED instruction and 15 hours of Chapter 1 weekly. Ten students were in Chapter 1 at the time of our visit. Their average age was 19.3; other student characteristics are provided below:

Characteristic	Average	Range
Length of sentence (in months)	46	5-120
Grade level reached	9.6	8-11
Tested achievement level at entry		
Reading	7.4	4.2-9.1
Math	6.4	2.8-8.4
Time since entry into facility (in weeks)	21.4	10-34
Number of days Chapter 1 services received	99.8	50-170

The Tennessee Women's Prison has one Chapter 1 teacher, two-thirds of whose salary is paid by Chapter 1 and one-third by state funds. She has been with the program for two years; previously, she had been a basic education teacher in a juvenile correctional facility in the state.

The Chapter 1 program provides supplementary mathematics and reading instruction. The small size of the program, in addition to daily Chapter 1 instruction, means that students receive intense amounts of attention and direction. When a group ot

students is at about the same achievement level, the Chapter 1 teacher offers direct instruction for part of their class time. In other cases, the teacher supervises individual study.

The Chapter 1 teacher chooses the instructional materials she uses, which are all commercially prepared textbooks. In the past, federal funds paid for an overhead projector and some maps. Chapter 1 also bought some computers, but the prison then purchased them with state funds for use in other programs. We saw no computers being used by Chapter 1 students.

No staff could recall receiving any technical assistance from the SEA. The Chapter 1 teacher attended a three-day workshop last fall sponsored by the Department of Correction tor all of the agency's teachers. At this training academy, there was a session for Chapter 1 teachers. Because of recent changes in prison personnel, we were unable to learn how frequently the SEA had monitored the facility over time; however, the SEA had monitored the Chapter 1 program the week before our visit. The Department of Correction monitors the program twice a year.

The students we spoke with were quite enthusiastic about their Chapter 1 services. The only reason they could remember for missing a Chapter 1 class was to attend a medical call. They were unanimous in describing the Chapter 1 teacher as "a really good teacher." One student said she was receiving a better education in the prison than she had received in other schools: "There, people would rather date, listen to music, or do drugs. Here there are no distractions." Another said, "Halt the stutt I'm learning now I didn't know in the ninth grade. We had a

chance to learn this before, but drugs and alcohol got in my way. I've been given a second chance to go back to learn what I didn't before." A student said, "I couldn't take my other classes [ABE] without this class. It's smaller, and it helps me with my other work."

The Chapter 1 and basic education programs appear to be well coordinated. The basic education and Chapter 1 teachers speak frequently. They report checking with each other about individual students' progress and particular areas of difficulty. The Chapter 1 teacher asks her students to show her their papers and grades from other classes, which helps her to identify their particular areas of need.

Tennessee Youth Center. The Tennessee Youth Center (TYC) is a minimum security facility for males located in Joelton, Tennessee, about 30 miles from Nashville. The facility has been in operation for 24 years, and it has always been a minimum security "honors program." Due to changes in Tennessee's correctional system, TYC is scheduled to close in October 1986. Those who would have been served at TYC will be shifted to group homes or other juvenile facilities.

At the time of our visit, 121 youths were in residence; last year, the facility housed a total of 427 youths. Residents are selected from the three other facilities in Tennessee that serve delinquent youths. TYC differs from these other facilities in that there are no fences and no locks, residents may move around the campus without guards present, prison staff do not sleep in

the student cottages overnight, and students are allowed to carry cash. Weekend passes can be earned.

A careful selection process precedes the student's arrival at TYC. The primary criteria are behavioral. Most students have never before been committed to a correctional facility, most do not have a long history of offenses, and most have committed property offenses. Once a student has been identified as a possible candidate for TYC--by the host facility or by a probation officer--staff from TYC interview the student to determine his suitability for the institution. Students who misbehave (e.g., leave the grounds without permission) go before a staffing committee for review, and some are sent to other facilities.

Students are released from the program upon earning sufficient points, subject to the approval of the original sentencing judge. Points are awarded every two weeks by a team composed of the student's counselor, vocational instructor, academic teachers, and house parents. Each of these staff can award up to 10 points, for a maximum biweekly total of 40. A biweekly score of 40 points entitles a student to attend a movie, 38 points gives a student two weekend passes, and 33 points earns one weekend pass. A total of 440 points are required for release; a student who earns 300 points without missing any is eligible for release. The average length of stay in the facility is five months (which is equivalent to one semester of school).

The fact that half of the points are related to education reflects the importance that education has at the facility. As one staff member said, "We tell them 'that's how you get out of

here. If you don't take classes, you won't earn points. If you want to read a newspaper or place your head down on your desk and go to sleep, that's your choice, but you won't earn points.'"

All residents at TYC are in seven class periods daily. Most students have four academic periods and three vocational periods. Academic offerings include three levels of mathematics, several levels of language arts, American history, general science, economics, consumer education, health, and GED preparation. Students earn academic credit for these courses. Vocational courses can be taken in food services, upholstery, carpentry, spray painting, ornamental horticulture, and auto mechanics. Students completing a vocational series receive a certificate. The occasional student at TYC who already has a high school diploma or GED certificate is allowed to take more vocational courses and sometimes work on campus (e.g., in the school's library).

Many staff at TYC have extensive experience in the correctional system. The superintendent of the facility has been there for 11 years. The school principal has been with TYC for two years; his previous position was with one of Tennessee's other facilities for delinquent youths. The school has a total of 16 teachers. Two of these are Chapter 1 teachers--one for reading and one for math. One of the Chapter 1 teachers has been at TYC for two years; he is a former Title I teacher and school principal. The other Chapter 1 teacher has been at the facility for more than 20 years. They are assisted by an aide. Chapter 1 also pays for a counselor, who provides career information and administers tests.

Students are selected for the Chapter 1 program if they score at least two grades below their grade level on the California Achievement Test. To the best of our respondents' memories, the facility has been able to serve all such students in Chapter 1.

The Chapter 1 program operates on an every-other-week basis. That is, students attend their regular math or language arts class one week and then Chapter 1 class the next week. Chapter 1 classes are organized primarily by ability level.

TYC's Chapter 1 program has recently changed to follow Tennessee's Basic Skills Program, which is part of the overall educational improvement effort in the state. The Chapter 1 coordinator in the Department of Correction recommended adopting this program. The principal said, "this was a good suggestion. We weren't married to the program we had been using." Students are assigned to different grade levels according to their achievement scores. They then work toward mastery of numerous skills identified for their grade levels. The primary instructional tools are state-developed student workbooks and worksheets. The Chapter 1 language arts teacher has removed the grade designation from the workbooks students use because he does not want older youths to become discouraged by being labelled at a low grade level. Profiles of Chapter 1 students are presented below:

Characteristic	Average	Range
Age	16.4	15-18
Grade level reached	8.5	7-10
Tested achievement level at entry		
Reading	5.3	1.5-11.3
Math	5.7	2.9-7.9

Characteristic	Average	Range
Time since entry into facility (in weeks)	15	4-30
Number of days Chapter 1 services received	37	10-75
Weekly instructional time (in hours)		
Chapter 1	11.3	6.3-12.5
Other	23.8	22.5-28.8

State officials have visited TYC fairly often in recent months. The Chapter 1 coordinator at the Department of Correction is on the premises several times a year to look at program operations. The new SEA neglected or delinquent coordinator visited TYC to introduce herself and get acquainted with staff and the program. During a federal monitoring review of Tennessee two years ago, TYC was one of the facilities visited.

Chapter 1 teachers report receiving several forms of technical assistance. They both attended the training academy sponsored by the Department of Correction last fall. Both participate in 40 hours of inservice training annually, often attending meetings sponsored by the SEA that focus on the basic skills program. One teacher noted "more input and involvement" from the SEA over the past two to three years. This same teacher has visited, at his own initiative, Chapter 1 programs in another juvenile correctional facility and in local public schools.

The teachers often use their planning periods to coordinate services between the Chapter 1 and basic education programs. Several examples of coordination efforts were offered. In reading, the Chapter 1 teacher may assign a vocabulary list; the regular language arts teacher will have the students look up the words in a dictionary and use them in sentences; the Chapter 1

teacher then tests the students the next week to see if the words are being pronounced correctly.

We again noted the commitment of the Chapter 1 teachers to their students. One said, "I take pleasure in saying to other teachers in public schools, 'I teach the ones you won't teach.'" He continued, "We encourage students to make mistakes here. We let them know that's okay. We let them see for themselves that they can succeed, despite the experiences they had in school before."

IV. TRANSITIONAL PROGRAMS

Transitional programs serve youths who have been released from facilities and returned to their home communities. The purpose of transitional programs is to help youths get back into the regular educational system. While transitional programs are not limited to assisting specific age groups, most efforts are directed at a younger population because these students are more likely to return to school--especially if they are under the state compulsory attendance age. An earlier study found that of 170 youths, 116 (68 percent) enrolled in school and 45 (26 percent) did not enroll (the whereabouts of nine youths were unknown). Only 12 percent of the youths 16 or older enrolled in school, compared to 71 percent of the children 13 or younger. Fifteen months later, only 50 percent of those who initially enrolled in school were still there, and more than one-third of them had poor attendance.[1]

Numerous factors may account for the low numbers of youths returning to school. Obviously, the individual youth's predilections may not include formal education. Many youths are past the age covered by state compulsory attendance laws. Parole requirements that do not stipulate schooling may act as disincentives. Students who have been working toward a GED while institutionalized may not want to return to the regular classroom. Further,

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[1] United States General Accounting Office, Reevaluation Needed of Educational Assistance for Institutionalized Neglected or Delinquent Children, HRD-78-11, Washington, D.C., December 1977.

a released youth has lost time while in the facility, so he is likely to be placed in a grade below his age group. In at least one state, the attorney general has prohibited facilities from releasing youths' records--including psycho-educational test results--to schools, which means that appropriate placement is difficult. Another factor is that released youths may have needs more pressing than education. Last, school officials may not want "troublemakers" in their buildings.

In the early 1980s ED funded 22 transitional programs with a special appropriation under Chapter 1. As part of this study we were asked to determine whether transitional programs exist. Because this was not a major focus of the research, we looked for transitional programs near the N or D facilities we selected for visits. The information in this chapter, then, is based on programs that are not representative of general practices.

Locating transitional programs is difficult. There is no national registry of such programs, and few are associated with federal programs. State educational agencies have no roster of transitional programs. To find transitional programs, we asked SEA officials during our telephone interviews whether they knew of any, and if not, asked them to suggest sites within their state that might have them.

The transitional programs we visited use a variety of approaches. We categorize them into five groups--prevention, alternative high schools, efforts by individuals in N or D facilities, efforts by individuals in school districts, and group homes---each of which is briefly discussed below.

Prevention

Some school districts are instituting programs designed to assist "at risk" youngsters before they get into serious trouble with the law. In one district we visited, students who are being expelled from their home school are taken before the board of education and given a "last chance" opportunity to attend a special program.

The prevention program consists of a self-contained class that is located in a combination junior high-high school. The entire school has some unique characteristics, among them an extensive vocational program. Overall, the school has low student-to-teacher ratios. Staff emphasize a "tough love" approach to their supervision of students. Many of the students in the school come from troubled backgrounds, and most choose to attend because of the specialized vocational classes.

The prevention program has about six students who are instructed by the same teacher all day. A staff member explained that these students would not be in school if the prevention program were unavailable. The teacher has received no special training for dealing with these students, but school officials described him as one of their best teachers. The district receives a special allocation from the state for the prevention program.

Alternative High Schools

The alternative high school we visited is in a major metropolitan area. Staff believe that similar programs exist in most large cities. Although the alternative high school is one of the district's regular schools, it offers unusual flexibility to students. Its primary purpose is to provide structured education suitable to the nontraditional student; as such, the alternative high school is a possible location for released youths to continue their education.

Classes are held during the day and at night. Instruction is individualized, so a student who has to leave school for a short time (e.g., if financial needs or family responsibilities are pressing) can return and resume studies. Class sizes are small. Courses offered include the basic high school curriculum (reading, math, social studies), plus GED preparation. The last of these is important. The principal said, "We don't encourage kids to drop out of high school, but some do. Then they realize that they need a certificate to get a job. They come to us for help."

Staff did not know whether any students currently enrolled had been in an N or D facility. They did indicate, however, that they would welcome such students and believe the special instructional approaches used at the school are appropriate for the nontraditional student.

Efforts by Individuals in N or D Facilities

At some of the facilities we visited--especially juvenile delinquent facilities--principals told us about their efforts to help youths being released re-enter schools in home communities. The work is informal. A principal described the process:

> When I know a kid is getting ready to get out of here, and he's indicated a desire to go back to school, I pick up the phone and call the principal or guidance counselor. I alert them that he's coming back, and I tell them that he needs some special services. He's probably eligible for special education, so I suggest they consider that. I try to tell them a little about the education he has had here. We talk about the credits he should get for his work, and where he should be placed in the school.

Efforts by Individuals in School Districts

We visited a site where an ED grant had launched a transitional program. Although the program has no funding now, a group of people involved with N or D and released youths meets regularly to design service options. Staff include the SEA N or D coordinator, a Chapter 1 staff member from a school district, and the head of the guidance department from another school district.

The group tries to make district and school staff aware of the special needs of the released youth. Last year the group sponsored a well-attended inservice workshop on incarcerated youths, and a similar workshop is planned for this year. Members of the committee act as contact points for youths being released. Staff estimated that they help two or three students annually to come back into the school systems.

Group Homes

By far the most formal transitional programs we saw were administered and funded by a state applicant agency. Located in a major city, the SAA operates group homes for youths recently released from N or D facilities. In some cases a youth's assignment to a group home is part of his sentence. The homes offer care 24 hours a day.

The particular services vary from place to place. In one, education is provided in the group house by state-funded teachers and teachers on loan from the local school district. Education is important. Staff try to keep the youths motivated because "kids are turned on to school by the time they leave [N or D facilities]. We try to hold on to this enthusiasm." Other services include parent consultation (the center picks up parents to come to workshops), counseling, and acting as a liaison to get youths back into public schools.

The youths who live in another home attend nearby public schools. One of the program's goals is to phase residents back into the community. Some residents are involved in work-study programs. Visits are made to youths' homes "to elicit support for what we're doing."

Summary

The transitional programs differ in their approaches, but all try to help youngsters re-enter their home communities. Education is a major focus, probably because many of these programs

are affiliated with schools and school districts. Most coordinate informally with the public schools. The numbers served are not high, due to the relatively small number of youths who return to school after their stay in a correctional facility.

V. FINDINGS AND CONCLUSIONS

The neglected facilities and juvenile delinquent and adult correctional institutions we visited house a needy population of youths. Most have poor educational backgrounds, and many have previously dropped out of school. Their scores on achievement tests are far below the norms for their age level. The Chapter 1 N or D programs in state-run facilities examined in this study are largely fulfilling the intent of the law: they provide supplementary instruction to youths without high school diplomas, according to their special educational needs.

N or D programs face special constraints associated with the correctional setting. Unlike other Chapter 1 programs, N or D must fit within an organization that does not have education as its top priority. The N or D programs provide compensatory education to students who vary in their length of assignment to the facility and have high mobility into and out of institutions. Moreover, the N or D students differ from typical students; their previous experiences create enormous barriers that must be overcome for successful learning to occur.

Chapter 1 occupies a special position in correctional education programs. Instruction is geared to complement the other classes students take. In the sites we visited Chapter 1 classes are small, allowing for individualized, focused attention. Compared with other classrooms in the facilities, the Chapter 1 classrooms are better equipped and contain more instructional materials. Students are generally enthusiastic about attending

class. The Chapter 1 teachers exhibit extraordinary commitment to their work in helping these low-achieving, troubled youngsters learn basic skills.

In many respects the N or D program structure closely parallels the structure found in the better-known Chapter 1 basic grants program. For the basic grants program, federal funds are awarded to SEAs, which award grants to local educational agencies, which offer services in schools. For N or D, federal funds are awarded to SEAs, which award grants to SAAs, which offer services in facilities.

Despite these structural similarities, there are significant differences between the two programs that result in divergent implementation practices. Four differences, in particular, are important:

- The N or D program is administered by an agency--the SAA--that does not have education as its dominant mission and that is not located within the educational framework of a state.
- The SAA Chapter 1 staff must answer to two authorities with dissimilar objectives: their own organization and the SEA.
- The facilities operated by SAAs are far apart, often separated by hundreds of miles, which hinders direct supervision, oversight, and technical assistance.
- The size of the N or D program is minuscule in size relative to the basic grants program; accordingly, relatively little federal or state attention is given to N or D.

Because of the structural differences, N or D is not administered in a fashion identical to the Chapter 1 basic grants program. The differences sometimes produce weaknesses in the N or D program that show up at the federal, state, and facility levels. In

the sections below we discuss several issues that may warrant some consideration. We present options for practices that may ameliorate the problems we found regarding the quality of program information, compliance, and program identity.

The Quality of Program Information

Flaws in the data submitted by SEAs demonstrate the problem of inadequate program information. Both the state performance reports and the reports submitted under GEPA requirements have missing or erroneous data on key variables. We learned of two reasons for the poor quality of the data: (1) SEA staff do not always understand precisely what information ED is requesting, and (2) SEA staff lack the incentive to collect the data (or to insist that SAA or facility staff collect complete and accurate data) when they believe that ED will not follow up on their reports.

The explanatory memorandum that ED has already issued on data for GEPA reports should help to clear up some of the problems. ED staff may also want to consider additional steps that could improve the quality of the data SEAs send in on their state performance reports. First, ED could disseminate instruction sheets that define the data elements requested--for example, specifying that "number of eligible students" means the number of youths who are under 21, without high school diplomas, and participating for at least 10 hours weekly in an organized instructional program in state-run neglected facilities, juvenile correctional facilities (both with average stays of 30 days or

more), and adult correctional facilities. Second, annual data checks could uncover some anomalies in the data that ED could ask SEAs to correct (for example, the number of youths served should not exceed the number eligible). Third, summaries of program statistics (which ED prepares annually) could be disseminated every few years; the reports could note the data elements particular SEAs were asked to amend but did not. Fourth, ED could remind SEAs that the Chapter 1 Technical Assistance Centers (TACs) may have ideas and resources that they can use.

Compliance

Due to the division of organizational responsibilities in the N or D program, compliance problems can easily arise unless all the agencies involved attend to communicating requirements and overseeing compliance. As we have discussed, the SEA usually reviews and approves applications and occasionally monitors on-site. The state applicant agency generally chooses program sites, oversees regular operations, provides technical assistance, and reviews program compliance. Chapter 1 N or D thus requires spanning the boundaries between state organizational jurisdictions, which is not always a smooth process. The result of this arrangement--and of the other structural differences between N or D and the Chapter 1 basic grants program--can be a lack of clarity about program requirements as these are transmitted along a lengthy administrative chain from the federal government to the widely dispersed sites where program services are delivered.

There appears to be a need to tighten accountability in the program. While the sites we visited were following most of the applicable program rules, our research did discover instances of noncompliance: one program serves adults who are 21 and 22 years old; another provides only eight to nine hours of nonfederally-funded instruction weekly; and a third uses Chapter 1 to supplant its reading program. In some sites the staff simply do not know the program requirements. In other cases noncompliance has arisen because no one has ever checked routine operations.

To improve program compliance, ED might require SEAs to monitor N or D programs through visits to facilities. SEA staff could also be reminded of their responsibilities under N or D, including the review of allowable expenditures, oversight of SAA Chapter 1 activities, evaluation, and general supervision of program operations. ED staff can make sure that SEAs have sufficient information to carry out these responsibilities.

ED program staff could consider increasing their own contact with SAA staff. State program reviews provide an opportunity for ED staff to meet the Chapter 1 SAA administrators, examine the work they perform, and discuss program requirements. ED staff could continue to include an N or D facility during onsite state program reviews. Staff members in every institution we saw that had been visited by federal staff remembered the experience well, and almost always in a favorable sense. We also found instances in which federal monitoring visits helped to detect and correct inappropriate program operations.

Program Identity

The administrative structure of the N or D program and its small size relative to Chapter 1's basic grants program do not promote a federal presence at the facility level. The administrative relationships involve the federal government, SEAs, and SAAs before the program ever reaches the service delivery level. This administrative congestion affects N or D to a degree not found in the basic Chapter 1 program. This is because unlike the schools in the basic program, which are close together and provide many opportunities for interaction, the N or D facilities are physically isolated and do not have educational services as their top priority.

At the same time, education has increasingly become an integral, important part of the correctional system, and Chapter 1 programs are a significant piece of the overall educational activities. Although our sample was not representative, we are struck by the fact that facility administrators and school principals unanimously support the Chapter 1 effort. Some officials in adult correctional facilities suggested, in fact, changing the law to eliminate the age limit on eligible students. While they recognize that this would probably dilute services for the younger population, they are willing to accept that trade-off in the interest of using the Chapter 1 model (and funds) to provide specialized services to any inmate without a high school diploma who has particular educational needs.

The Chapter 1 teachers we met are thoroughly devoted to working with their disadvantaged students, showing a personal

determination to help students obtain basic skills. These qualities, we believe, are attributable to the personal characteristics of the staff. Teachers and principals who choose to be educators in a correctional facility have special traits that result in the commitment we saw.

Yet, Chapter 1 N or D teachers are isolated. They have only infrequent contact with Chapter 1 teachers in schools or in other N or D facilities. Only rarely are they in touch with people who have faced the same difficulties they face in providing education to nontraditional learners in a nontraditional setting. They have little identification with the federal program, often having had only on-the-job training about specific Chapter 1 goals and requirements. No teacher we interviewed reported having received any technical assistance from the SEA that was helpful. Many express frustration at their lack of involvement with teachers outside N or D facilities.

Some new administrative practices could strengthen these educators' sense of involvement with the federal effort; these practices might also promote greater program compliance. ED and SEAs could foster networks of N or D Chapter 1 teachers by encouraging their participation in several kinds of ongoing Chapter 1 activities. For example, SEAs could invite N or D teachers to the general meetings that most conduct annually on preparing Chapter 1 applications; special group sessions at these meetings could focus on N or D programs. Neighboring school districts could be encouraged to invite N or D facility staff to attend routine Chapter 1 meetings and inservice training. Facility

teachers--not just SAA staff--could receive travel funds to attend conferences, including ones out of state and ones sponsored by ED. (Federal regulations allow the reimbursement of such travel costs, but state agencies have not often chosen to use any Chapter 1 funds in this way.)

Facility staff could also be made aware of resources available from the TACs. For example, the TAC staff might know of high-interest, low-level curricula or instructional materials useful for short-term instruction. Contact with these centers, like attendance at meetings and conferences, could give the facility staff answers to specific questions and could also give them information about other N or D programs.

Finally, ED, SEAs, and SAAs could disseminate several types of information to N or D teachers, including program manuals (containing, for example, pertinent sections of the law, regulations, and nonregulatory guidance), names of Chapter 1 coordinators in nearby school districts, lists of model programs, announcements of professional meetings, and resources for program ideas. ED could ensure that information is available for SEAs to send out; ED staff might also consider sending some directly to SAAs (numbering less than 85) and recipient facilities (numbering 600). While ED's interactions typically take place only with SEAs, the special characteristics of the N or D program may call for direct contact between ED and SAAs or facilities.

Transitional Programs

We managed to find a few transitional programs to examine for this study. Most of the transitional activities take place in urban school systems, not in facilities (an exception is the prerelease counseling provided in most institutions), and most are independent of Chapter 1. One type of service is found in alternative high schools, which differ from regular high schools by having more flexible schedules and different kinds of classes (e.g., GED preparation). Some school districts also offer programs designed to assist youths who are at risk of becoming offenders. One site we visited provides housing and counseling for youths recently released from facilities.

Past research and expert opinion conclude that few youths who have been in delinquent facilities or prisons return to a public school environment. The causes are numerous: many had dropped out of school, many are discouraged because their achievement is so far below their age group, they have lost time in school while in the institution and would be placed in lower grades, they have missed courses required for graduation, and schools are reluctant to enroll "troublemakers" as students.

While transitional programs are important, our research shows that they affect very few of the N or D students. Chapter 1 provides far greater numbers of students in institutions with an ability to read, write, and perform computational skills. Helping students to obtain basic skills while institutionalized is a valuable and achievable objective, and it may outweigh in importance the more problematic objective of encouraging released youths to earn a high school diploma.

In the area of transitional programs, ED might consider the following:

- SAAs could be encouraged to include on their Chapter 1 applications the procedures they plan to use for helping students make the transition from the facility to the community.
- States or districts that make special outreach efforts to serve students released from N or D facilities could be awarded a small "bonus" in their Chapter 1 grant, which could come from the Secretary's Chapter 1 discretionary fund or result from statutory changes.

Summary

The level of attention that the federal government and SEAs give to Chapter 1 N or D has been proportionate to the size of the program. This relatively low level of scrutiny, however, coupled with the isolation of N or D facilities means that the program has not been fine tuned. The alternatives discussed above are intended to address particular issues associated with the program, such as the poor quality of program data, a few gaps in program compliance, and a sense of isolation from the overall program among staff in state applicant agencies and especially in facilities.

Our research, while far from comprehensive, suggests that the Chapter 1 N or D program is generally well executed and provides services to meet the special educational needs of institutionalized youths. Staff commitment, especially in facilities, is clearly high. Most important, staff report that the students show improvement when they are enrolled in Chapter 1 classes.

APPENDIX A

DISCUSSION TOPICS FOR STATE DIRECTORS
ABOUT N OR D SERVICES

A. PROGRAM MANAGEMENT

1. Who administers the N or D program? Other responsibilities?

2. N or D budget for FY 86 or school year 85-86? Percent used for administration?

3. Activities involved in program management (e.g., application review, budget calculations, monitoring)?

4. Frequency and content of contacts with:

   a. State applicant agencies

   b. Recipient institutions

5. Decisionmaking processes and results regarding where programs are located? Does SEA get involved with state applicant agencies decisionmaking? Give guidance?

6. State or other programs providing educational services to the N or D populations (e.g., state mandatory education, adult education, correspondence courses)?

B. PROGRAM DESIGN AND OPERATIONS

1. State policies or practices affecting program (e.g., curriculum, staff qualifications, hours of instruction)?

2. Types of services offered (e.g., reading, language arts, math, bilingual, counseling)?

3. Degree of state prescriptiveness concerning program design; source of directiveness (e.g., SEA or state applicant agency)?

4. Coordination with other educational programs within facilities?

5. Locus of control (e.g., facility, state applicant agency, SEA)?

6. Importance of Chapter 1 for program operations?

7. Any technical assistance provided?

C. PROGRAM OUTCOMES

1. Effects on beneficiary population?

2. Evaluation results?

3. Existence of transitional programs?

4. Problems encountered (especially, how is short stay dealt with)?

5. Suggested improvements?
   a. Federal level
   b. SEA
   c. State applicant agencies
   d. Facilities

D. NOMINATED CANDIDATES FOR FURTHER STUDY

E. ASK FOR MATERIALS TO BE SENT (e.g., application form, state guidance, evaluations, instructions)

APPENDIX B

QUESTIONS TO BE DISCUSSED DURING ON-SITE VISITS
TO N OR D FACILITIES

Description of facility

- Level of security
- General atmosphere/attitude of staff
- Number of persons currently in residence
- Number of persons through age 21 currently in residence
- Number of persons residing in facility in 1984-1985
- Number of persons through age 21 residing in facility in 1984-1985
- Number of persons participating in Chapter 1 currently and in 1984-1985
- Custodial versus rehabilitation orientation

Educational program information

- General description of all education programs provided by facility (including those located off the grounds of the institution)
- General description of educational day
- Education budget for FY85, broken down into funding sources (e.g., state, federal, Chapter 1, other)
- Regular educational program budget and Chapter 1 budget for fiscal years 1970, 1975, 1980, 1985
- Details of FY85 Chapter 1 budget (e.g., staff, equipment, materials, etc.)
- Number of teachers and paraprofessionals--Chapter 1 and all other
- Types of professional development activities for educational staff

Student information--depending on the size of the population in the facility, we will collect the following information on currently enrolled Chapter 1 students from existing records for either the entire group of students or a random sample of 25:

- Age, race/ethnic group, gender
- Anticipated length of sentence or stay
- School achievement level at time of entry into facility
- Previous institutional commitments
- Length of time since entry into Chapter 1 program; length of participation in Chapter 1 program
- Frequency of attendance in Chapter 1 program since entry
- Weekly amount of instructional time in both Chapter 1 and other educational programs (e.g., vocational education, regular education)
- Description of individualized student plans, if available
- Measured achievement gains
- Participation in special programs and services (e.g., speech therapy, counseling)

Chapter 1 program information

- Locus of control for decisionmaking (SEA, state applicant agency, facility)
- Degree of prescriptiveness from outside the facility
- Focus and content of Chapter 1 program; any changes over time
- Procedures used to ensure that program is supplemental
- Procedures used for student selection
- Typical class size and length of instructional time
- Teachers' and paraprofesionals' qualifications
- Instructional materials used and/or purchased with Chapter 1
- Equipment used and/or purchased with Chapter 1

- Teachers' perceptions of student progress
- Teachers' reports about unique qualities of institution affecting instructional program